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Table of Contents

PREFACE

The relationship between education and business is becoming increasingly important. In the highly competitive global markets and the age of digital consumers, there are high demands on well-educated and skilled people to manage the business, build cross-cultural competence, and resolve challenging problems to create and maximize wealth from conflicting values.

The theme of this conference is 'Insights to China and ASEAN's Wellness, Tourism, & Innovation,' which consists of national and international sessions. The China-ASEAN International College and the Faculty of Tourism and Hospitality of Dhurakij Pundit University are the conference organizers, and co-host with the Research Service Centre of Dhurakij Pundit University, Eastern New Mexico University in the U.S., Hainan Vocational University of Science and Technology and Xianyang Normal University in China, National Chung Cheng University and National Taiwan Ocean University in Taiwan.

This proceedings consists of 77 papers in the international sessions and 206 papers in the national sessions after peer-reveiew that were presented in the 2nd China-ASEAN International Conference and the 2nd International Conference on Tourism, Business, & Social Sciences, which was held from 16th - 23rd April 2020 in Bangkok, Thailand. These papers cover the following areas, including but not limit to business management, education, tourism, wellness, finance, entrepreneurship, cross-cultural management, and arts and creativity.

We want to thank all of the authors who submitted papers to this conference. We also very much appreciate the committee members and peer reviewers who are highly competence and enthusiastic, spending their time and suggestions during the preparation of this conference. We invited more than fifteen professional reviewers to evaluate and select the submitted papers.

Thank you very much to all the people who have participated in this conference, especially to the invited speakers from the University of Nottingham, Malaysia, and Mahidol University, Thailand. We also thank all presenters and participants who contributed to this conference.

Last but by not least, who have to contributed to this conference, we would like to thank our team for putting in much effort in formatting the manuscripts, removing the typos, and checking the references.

We hope this conference has benefited the academics, researchers, students, and practitioners generating new ideas for future research. We look forward to seeing you next year.

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Elliott Wave Principle:
How Technical Trading Behavior Avoid Risk in Stock Market

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Abstract

Since early 20th century proposed by Ralph Nelson Elliott (1871-1948)- The Wave Theory (1938), it comes to one the main theories of securities technical analysis. Some traders use financial market cycles to predict market trends and trying to apply calculation of human activities can be projected to a certain stage in the future. Surely, the empirical validity of wave theory is still controversial. Although it's still difficult to define how it works in stock market; however, from fundamental analysis and economical information flow, traders could be based on its practical experience and psychological decision-making way to avoid risk and gain from stock market, to master Elliott Wave Principle.

Keywords: Wave Principle, Dow Theory, Fibonacci Numbers, Technical Analysis, Futures

1. Introduction of foundation

This paper of the idea intends to explain about the trader behavior affects the stock market and how to apply Elliotte Wave Principle with Fibonacci Numbers relationships to predict time series and avoid risk of the tread. The proposition is that when the market changes direction after a period of trending prices, the magnitude and duration of the next trend is not random, but depends on the magnitude and duration of the previous trend [17].

Technical analysis- the prediction of turning points in financial markets by chart-based methods, and most problem to be resolved is how and when? From Dow theory have been proposed since 20th century [7], based on its idea, following by Elliott Wave Principle posits that collective investor psychology, or crowd psychology, moves between optimism and pessimism in natural sequences [16]. These mood swings create patterns evidenced in the price movements of markets at every degree of trend or time scale, particularly in future market by day traders.

The root of the problem is the failure of technical analysts to specify their trading rules and report trading results in a scientifically acceptable way. Too often, rules are so vague or complex as to make replication impossible. Too often popular texts contain dramatic examples of successful predictions of turning points, with no count of misses or false alarms. [1]. This is what traders have encountered especially in future market, false signals too often that high

frequency buy/sell cause extra transaction cost & loss [9].

From Elliott's model, traders learn to predict by pattern, ratio and time by motive and corrective phases. After wave 5 pattern shown, investors in bull market could make decision to sold out their portfolio on hand or adjust portion to avoid downside risk. Or buy in bear market after impulses waves have been finished [2]. This explains "how", but "when" is specifically we are interested in whether by ratio of successive trends cluster around Fibonacci numbers could provide us a good sign in financial market.

2. Degree and Define Peaks

The classification of a wave at any particular degree can vary as below [5], practitioners generally define trend by intermediate and trade by minute classification while counting by peak points have been decided.

- **Primary: a few months to a couple of years**
- **Intermediate: weeks to months**
- **Minor: weeks**
- **Minute: days**
- **Minuette: hours**
- **Subminuette: minutes**

The popularity of technical analysis among market practitioners is evident from any casual reading of the financial press and the many web-based financial information services and has been widely documented. Technical analysis itself is an umbrella term for a heterogeneous set of techniques, some relying on visual recognition of chart patterns, others on values of statistical indicators calculated from recent price or volume data [15]. Through technical analysis, we preconized its peak by historical data based by K-D, candle chart and periodically peak points to make short-term buy/sell decision [11].

By Wave practitioners, finding high-low point from primary wave and dividing into intermediate/minor/minute are priority to define where we are now- bull/bear trend [12]. The patterns link to form five and three-wave structures which themselves underlie self-similar wave structures of increasing size or higher degree. Note the lowermost of the three idealized cycles. This signals that the movement of the wave one degree higher is upward. It also signals the start of the first small three-wave corrective sequence.

Thus, in practical way by Wave Principle followers -especially future market traders, could base on global economics prediction by fundamental approaching, through GDP, economic data

overall, update financial news to outline bull market or not? And then applying technical analysis to seek its peak point by charting way. Since each degree of a pattern, finding its phase and duration have more evidences supporting their wave deductive thought. However, pareidolia error might be occurred by traders as this is the most sophisticated skill hard to be mastered. Therefore, Fibonacci ratio and numbers [14] provide great support to expand time duration concept while making decision.

3. Fibonacci relationships to define time

In mathematics, the Fibonacci numbers, commonly denoted F_n form a sequence [2], called the Fibonacci sequence, such that each number is the sum of the two preceding ones. For example, the sequence 0, 1, 1, 2, 3, 5, 8, 13, 21, 34, 55, 89, 144…is formed by starting with 0 and 1 and then adding any two consecutive terms to obtain the next one: an implicit description.

$$F_n = F_{n-1} + F_{n-2},$$

(1)

Since Fibonacci sequence levels are widely used in technical analysis for financial market trading. (Douglas, 2001) therefore, the coming points will apply this idea from Taiwan Stock Exchange index by weekly/monthly basis to show how it works and define time that investors shall be alarmed.

4. While we selected three periods from historical data:

The figure 1 TWSE 3098.33 to 10256.1
The figure 2 TWSE 3411.68 to 3845.76
The figure 3 TWSE 6484.93 to 4044.73
That we could study that
TWSE index from 3098.33 (1993/01/08) to 10256.1 (1997/08/27) around 55 months.
TWSE index from 3411.68 (2002/10/11) to 3845.76 (2002/10/11) around 55 weeks.
TWSE index from 6484.93 (2002/04/22) to 4044.73 (2003/04/28) around 55 weeks.

Figure 1: Concords Kingcon version 7.2 TSE 1993/1/8-1997/8/27

Identifying support and resistance levels, it can be identified by trend lines. In using pivot point calculations, the more often a support/resistance level is "tested" (touched and bounced off by price), the more significance given to that specific level. If a price breaks past a support level, that support level often becomes a new resistance level. The opposite is true as well, if price breaks a resistance level, it will often find support at that level in the future. When judging entry and exit investment timing using support or resistance levels it is important to choose a chart based on a price interval period that aligns with your trading strategy timeframe [8].

Luckily, from above historical data we could anchor its highs & lows, and based on above information, we might apply same method to 2019 TWSE index low to predict its downside period and scale by **Fibonacci sequence &** Elliott's pattern.

Figure 2: Concords Kingcon version 7.2 TSE 2001/9/26-2002/10/11

Figure 3: Concords Kingcon version 7.2 TSE 2002/4/22-2003/4/28

5. Pattern recognition and Fibonacci numbers in TWSE

Elliott's market model relies heavily on looking at price charts. Practitioners study developing trends to distinguish the waves and wave structures and discern what prices may do next.

Figure 4: Concords Kingcon version 7.2 TSE 2019/1/2-2019/11/11

The figure 4 shows TWSE index 9319.28 to 11668.2 since week 2019/1/2 to 2019/11/11, apply same method, we might come out that possible 55 weeks period is within 2020/1/30 to 2020/2/14. For experienced traders, most of them will also jump into conclusion that it's a risky time period while others might do the same action. Thus, the "sell" signal plants into technical analysis practitioners' mind, that's we call crowd psychology [13]. Based on Elliott's dominant's trend, we could calculate that and based on its principle to define current pattern its within Wave 3 stage:

● **Wave 1- 9319.38 to 11097, dif. is 1772.62 (2019/1/2 to 2019/4/29)**
● **Wave 2- 11097 to 10180.04, dif. Is 916.96 (2019/4/29 to 2019/8/5), it's a very clearly N-type Wave ABC in figure 4.**

However, while we see 11680.2 on week 2019/11/14 to minus Wave 2 low 11097, that dif. 1488.16 isn't enough for Wave 1 length, that defining Wave 3 not yet finished and still ongoing, whether by scale or Fibonacci numbers, there's 9-10 trading weeks to wait for the pattern completion.

Smart investors are, whether fundamental or technical analysis practitioners, coming back to global economics status to detect and forecast business cycle tuning points as even stronger support from bottoms up [6].

6. Conclusion

How we know when it ended? How can we forecast its onset and ending? The paper has 3

significant findings. First, technical analysis traders are most likely to be same psychological mind for buy/sell decision when signal comes out [18]. Second, the classical Elliott Wave Principle followers though might have different biased wave deduction high/low point and pattern decision, eventually, to certain significant pattern recognition, practitioners will avoid risk prior corrective trend. Third, from Fibonacci numbers could provide investors a good sign to avoid risk in market, although, it remains a subject of debate [1].

When we are facing the trading decision, there's no Bible reading nor perfect technical analysis methods to ensure 100 percent. Even fundamental analysis followers can't predict market peak, mostly could only provide a reliable business cycle turning points by statistic data [10]. Although wave theorists propose only a limited number of circumstances in which a Fibonacci relationship is likely, and even then the probability for such a link is quite less than 100 percent. However, if these wave theorists are correct and if Batchelor and Ramyar's study in DowJones Index has set up to discern a small portion of such conditions [1], then shouldn't their statistics reflect a slight degree that the appearance of Fibonacci rations in stock market movements? Perhaps the answer is positive.

Most occasions, I often remark Elliott wave principle and Fibonacci numbers how to avoid risks in market, although, anyone who works with waves would come out with interpretation of the results. Lumping with fundamental and technical analysis, sophisticated traders deem to believe their observations may support their trading decision and come out with advance and retreat strategy to stand in the market [4]. Alternatively, the relevant statistics and information, therefore, provide good sources to even enhance the signal when practicing these Principles are to be expected in certain specific situations.

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Pairs Trading Using Co-integration Approach On China's Stock Exchange

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Abstract

This study examines the profitability from the co-integration approach of Pairs Trading strategy in the China's Stock Exchange. Using the daily data for the constituent stocks of CSI 300 Index during the period from 2010 to 2018, this study examines the long- term relationships between the stock prices, and exploits the arbitrage opportunity for investors. This study examines the profitability from the co-integration approach of Pairs Trading strategy in the China's Stock Exchange. Using the daily data for the constituent stocks of CSI 300 Index during the period from 2010 to 2018, this study examines the long- term relationships between the stock prices, and exploits the arbitrage opportunity for investors. The result shows that Pairs Trading strategy of the co-integration approach helps generate profits with more stability than the market, and the annual returns are more stationary than the market.

Keywords: Pairs Trading; Co-integration Approach; China's Stock Exchange Introduction

7. Introduction

7.1 Background of the Study

The Pairs Trading strategy was originally proposed by Wall Street quant Nunzio Tartaglia in the mid-1980s. The team of computer scientists, mathematicians and physicists was assembled without the financial background. The idea of the team was to construct quantitative arbitrage strategies based on statistical methods. They constructed the automated trading system which could point where the trades could be opened and closed automatically [5].

One of the strategies they used is Pairs Trading strategy. The first step is to find out the pairs whose prices of the securities move together. Because the traders believe that the relationships between prices of securities would correct itself, when the anomaly was noticed in the relationships, the trade would be opened. Tartaglia and his team made a great success with Pairs Trading strategy in 1987. The team dissolved in 1989. The members of the team found themselves in other companies, and the Pairs Trading strategy spread. Pairs Trading strategy has become a common strategy used by financial firms [11].

The Pairs Trading strategy takes advantage of temporary anomalies between the prices of

securities which move together. When the prices drift from long-term equilibrium, one security will be overvalued and the other will be undervalued. We can then construct a portfolio where we sell the overvalued security and buy the undervalued one. When the prices revert to long-term equilibrium, the trade will be closed out by taking opposite positions of the portfolio. The profit is made from departing equilibrium in a short term between two security prices. Since the profit is prevented from the market fluctuations, Pairs Trading strategy is a market neutral strategy [10].

Because of high liquidity, most traders apply this strategy in stock market. Gatev *et al*. [4] are the first ones who examined the Pairs Trading strategy generally with daily data from 1962 to 1997 on Wall Street. They believe that with the increasing of traders using Pairs Trading strategy, the profitability of this strategy will decrease. The profit earned from Pairs Trading strategy has recently been less than earlier. However, the studies by Gillespie and Ulph [6], Habak [7], Hong and Do and Faff [2] reported that the returns from Pairs Trading strategy could still be positive.

7.2 Statement of the Problem

Different countries have different economic policies, political environment, cultural and legal systems. Each country is not independent of each other. The level of education, skills, population quality and cultural practices vary from country to country. Inter-country interaction was an impact on how to do business in different countries. Some components of the China's markets, such as the characteristics of investors, policy making, macroeconomic conditions and investment climate are different from those in other countries. It is therefore interesting to investigate whether the co-integration approach of Pairs Trading strategy can generate profit or whether the historical price is valid to forecast future price in China's Stock Exchange.

The objective of this paper is to examine the profitability from the co-integration approach of Pairs Trading strategy in the China's Stock Exchange. This research uses the daily price of 300 shares of CSI 300 underlying stocks from January 1, 2010 to December 31, 2018. The data are obtained from the database of Yahoo finance. This study provides the empirical evidence of the profitability of Pairs Trading strategy with the co-integration approach.

8. Research Methodology

8.1 Data collection

This paper uses daily data of all stocks selected to be included in CSI 300 index. Data are collected for 9 years form January 1, 2010 to December 31, 2018 from the website of Yahoo Finance.

8.2 Pre-selection Stage

If prices of two stocks have high correlation coefficients, the probability of co-integration relationships between them may be higher. In order to improve the efficiency of selecting stocks which have co-integration relationships, the correlation coefficients of each pair are calculated.

$$\rho_{x,y} = \text{corr(x,y)} = \frac{cov(x,y)}{\sigma_x \sigma_y} = \frac{E\left[(x-\mu_x)(y-\mu_y)\right]}{\sigma_x \sigma_y}$$

(1)

where variables x and y are observed values of stock price, while μ_x and μ_y are mean of series of stock prices. The correlation coefficients of all combinations of CSI 300 index underlying stocks are calculated. Based on the correlation coefficients from largest to smallest, the pairs with correlation coefficients greater than or equal to 0.95 are selected for the next tests.

8.3 Unit root test (ADF test)

In Augmented Dickey-Fuller test, p lags of Δy_t are included in the equation to control the effects of lags of Δy_t. First of all, the regression equation:

$$\Delta y_t = \alpha + \theta y_{t-1} + \gamma_1 \Delta y_{t-1} + \ldots + \gamma_p \Delta y_{t-p} + \varepsilon_t$$

(2)

The t test is used to test on the coefficient of y_{t-1}, θ. Because the equation is augmented by the lags of Δy_t, the improved version is called as Augmented Dickey-Fuller test. The unit root is tested on every stock from CSI 300 index. If the series are not stationary at level, the unit root at the first difference will be tested. If the stock series of each combination are stationary at the same order, the co-integration relationships can be tested in the next step. If the stock series of each combination are not stationary at the same order, the combination will be omitted.

8.4 Co-integration test (Johansen test)

Johansen (1998) pointed out that if there are two variables and they are integrated of order one, $x_t \sim$ I(1) and $y_t \sim$ I(1). Now there is only at most one co-integrating vector. Once more than two variables are considered, say *n*, *n*-1 co-integrating vectors can exist. Each of the co-integrating vectors can form a long term co-integration relationship.

$$X_t = A_t X_{t-1} + \varepsilon_t$$

(3)

Therefore:

$$\Delta X_t = A_t X_{t-1} - X_{t-1} + \varepsilon_t$$

(4)

$$\Delta X_t = \pi X_{t-1} + \varepsilon_t$$

where X_t is the vector of variables. π is the difference between A_t and 1. If the rank of π is zero, each element of π will be zero. Here, A_t is an identity matrix and X_t is the first order VAR (Vector Autoregression) process equivalent to:

$$\Delta\ X_t\ =\ \varepsilon_t$$

Thus the first difference of each X_t is I(0). Because of all $X_{i,t}\ =\ X_{i,t-1}\ +\varepsilon_{i,t}$, all the sequences have unit root and therefore there is no co-integration relationship.

At the other extreme, suppose π is of full rank, then the long-run solution is given by the n independent equations:

$$\pi_{11}X_{1t}\ +\ \pi_{12}X_{2t}\ +...+\ \pi_{1n}X_{nt}\ =0$$
$$\pi_{21}X_{1t}\ +\ \pi_{22}X_{2t}\ +...+\ \pi_{2n}X_{nt}\ =0$$
$$\vdots \qquad\qquad \vdots \qquad\qquad \vdots$$
$$\pi_{n1}X_{1t}\ +\ \pi_{n2}X_{2t}\ +...+\ \pi_{nn}X_{nt}\ =0$$

Each of these n equations is an independent restriction on the long-run solution of the variables; the n variables in the system face n long-run constraints. In this case, each of the n variables contained in the vector X_t must be stationary with the long-run values. In general, if the rank of π is r then there are r co-integrating vectors. The co-integration relationships of the combinations where stock series are stationary at the same order is tested. If the combination has co-integration relationship between two stocks, the next step is to test error correction mechanism in the combination. If the combination has no co-integration relationship between two stocks, the combination will be omitted.

8.5   *Error Correction Model*

The short run relationships between two series can be calculated using error correction Model. We can construct the model with one of Δx and Δy:

$$\Delta y\ =\ \alpha_0\ +\ \alpha_1\Delta y_{t-1}\ +\ \gamma_0\Delta x_t\ +\ \gamma_1\ \Delta x_{t-1}\ +\delta\,(y_{t-1}\ -\ \hat{\beta}x_{t-1})+\ u_t$$

$$(5)$$

If the parameter δ is less than 0 and statistically significant, the pair has error correction mechanism. The term $\delta(y_{t-1}\ -\ \hat{\beta}x_{t-1})$ is an error correction term. The coefficient of co-integration, $\hat{\beta}$, can be an estimated form of co-integration regression equation. If $y_{t-1} > \hat{\beta}x_{t-1}$, it means that y is more than equilibrium in the previous period, and the error correction term can   push y back toward equilibrium in the next period, vice versa. If the combination has error correction mechanism, the combination can be a pair for trading. If the combination has no error correction mechanism, the combination will be omitted.

8.6 Design of Trading Rule

Step 1:

Run the every statistical test with 5-year data. If the series and pairs are not statistically significant, the series and pairs will be removed.

Step 2:

If there is co-integration relationship between stock A and B, the trade can be constructed:

$$S_t + \alpha = P_{A,t} - \beta P_{B,t}$$

(6)

where S_t is the spread between stock A and stock B at time t. Based on the co-integration relationship between stock A and B, the series that are combined by S_t and α is stationary and mean reverse, and the mean is α. The co-integration equation is calculated with 5-year data. The co-integration equation will be used to predict the co-integration relationships next year. For example, the co-integration equations will be calculated with data form 2010 to 2014, 2011 to 2015, 2012 to 2016 and 2013 to 2017 to predict the co-integration relationships of 2015, 2016, 2017 and 2018 respectively in this research.

Step 3:

The series, combined by S_t and α, fluctuates around its mean, α. When the series drifts from mean more or less than the threshold, the trade is opened. For example, if the series drifts from mean more than threshold, the trade will be constructed, namely sell one unit of stock A, relatively high, and buy β unit of stock B, relatively low, at the same time. The equation 20 shows the cash flow of opening the trade. When the spread reverses to mean, the trade is closed, namely buy one unit of stock A and sell β unit of stock B at the same time. The equation 21 shows the cash flow of closing the trade. The equation 22 shows the profit of every trade, namely the summation of opening and closing trade cash flow. Obviously, the profit of every trade is the difference between the spread of opening and closing.

$$S_o + \alpha = P_{A,o} - \beta P_{B,o}$$

(7)

$$- (S_c + \alpha) = \beta P_{B,c} - P_{A,c}$$

(8)

$$S_o + \alpha - (S_c + \alpha) = S_o - S_c$$

$$(9)$$

Where S_o is the spread of opening trade, S_c is the spread of closing trade. The two times standard deviation of the co-integration equation residuals is employed as threshold by the papers of Dunis *et al.* [3] and Caldeira and Moura [1]. In this research, one and two times standard deviation are employed.

Step 4:

To diversify the risk from the fluctuations of pairs annual returns, the portfolio is constructed. All of the pairs that are statistically significant will be included in the portfolio with equal weights. The yield of the portfolio is weighted average of all pairs yield.

8.7 Calculation of Returns

Only the complete trade is calculated. The measure of return by Hong and Susmel [8] is used in this research. The deposit margin is 50% of stock value in china. The return per trade (RPT) is defined as follows:

$$\text{RPT} = \frac{profit}{V_l + 0.5 V_s} \times 100$$

$$(10)$$

where V_l is the stock value of long position, V_s is the stock value of short position.

9. Presentation and Critical Discussion of Results

This chapter presents the results of pre-selection, time series analysis and annual returns by the co-integration approach.

9.1 Results of Pre-selection

The correlation coefficients of all combinations of CSI 300 index underlying stocks have been calculated. Based on the correlation coefficients from the highest to smallest, the pairs with correlation coefficients greater than or equal to 0.95 are selected for the next tests. Sixty-one pairs are selected. Some of the underlying stocks have been listed in recent years. Therefore, the stock data that are insufficient for simulation are eliminated. Only stocks with at least eight years of data can be taken for the next tests. Finally, 37 pairs, and 48 stocks.

9.2 Results of Unit Root test

Augmented Dickey Fuller Test (ADF) is employed to identify the series that are stationary or have stochastic trend. This test checks for level and first difference at trend and intercept for all

series. The results of unit root test demonstrate that all 48 series are stationary at the first difference at 1% significance level.

9.3 Results of Co-integration test

Given the series of stock prices with stationarity at the same order, the co-integration tests are performed to identify whether there is co-integration relationship between series of stock prices. Engle-Granger test is employed. Two pairs have no co-integration relationships. Thirty-two pairs have at least one co-integration relationship at 10 percent significance level.

9.4 Results of Error Correction Model Test

Twenty-seven of thirty-two pairs with at least one co-integration relationships have an error correction mechanism at 0.01 level. If the error correction mechanism exists, the coefficient of error correction term is negative sign. It means that the relationships of pairs can correct themselves. The error correction mechanism shows the arbitrage opportunity. If one of the stock prices within a pair is deviated from the long-run equilibrium price, the arbitrage opportunity exists.

9.5 Trading Simulation

Table 1 shows the annual returns of every pair with the threshold of one standard deviation. Table 2 shows the annual returns of every pair with the threshold of two standard deviation. The highest annual return is 283.05% and the lowest annual return is -77.84% as shown in Table 1. The highest annual return is 90.08% and the lowest annual return is -43.89% as shown in Table 2. The fluctuations of the pair annual returns in Table 1 are higher than the pair annual returns in Table 2.

Table 1: Annual Returns of Pairs with Threshold of one SD

Pairs		Annual Return			
		2015	2016	2017	2018
600036	601318	21.75%	0.61%	14.52%	-5.19%
600048	600038	4.53%	13.79%	-26.93%	25.96%
600066	600340	96.83%	9.91%	25.98%	327%
600104	600741	-6.85%	-8.09%	17.09%	39.39%
600118	600893	38.15%	14.41%	31.56%	11.67%
600196	600690	20.28%	26.18%	32.59%	9.04%
600196	600703	50.07%	14.86%	136%	9.91%
600276	600887	-32.24%	-27%	-0.24%	39.43%
600436	600887	42.69%	-0.35%	8.43%	24.08%
600519	600276	4.50%	-30.22%	-50.71%	21.39%
600741	600690	-0.47%	18.54%	48.39%	624%

Table 1: Annual Returns of Pairs with Threshold of one SD (Continued)

Pairs		Annual Return			
		2015	2016	2017	2018
600887	600690	9.12%	-2.99%	11.11%	-2.23%
600887	600703	91.01%	-2.84%	23.48%	16.86%
600887	601888	17.13%	-0.81%	5.12%	30.58%
601398	601939	12.81%	6.39%	-0.86%	6.99%
300015	600066	-8.31%	4.87%	19.45%	27.15%
300024	600893	74.77%	24.67%	33.45%	27.21%
300024	600118	76.16%	5.69%	6.60%	22.97%
300059	300024	23.87%	30.74%	23.05%	-14.94%
300059	600271	-77.84%	17.74%	235%	2.84%
300059	600893	-42.46%	8.50%	25.08%	7.56%
300122	600887	92.74%	72.43%	50.77%	12.91%
300136	600276	-49.98%	-27.31%	18.01%	-5.14%
300136	600816	-43.41%	-7.36%	-6.88%	-19.53%
300144	300033	238.05%	32.97%	15.30%	19.87%
600009	600276	-43.89%	-9.70%	2.03%	-12.79%
600703	600690	13.00%	15.86%	1.05%	21.41%

Table 2: Annual Returns of Pairs with Threshold of Two SD

Pairs		Annual Return			
		2015	2016	2017	2018
600036	601318	18.64%	2.17%	4.73%	18.67%
600048	600038	4.53%	18.73%	-15.83%	13.70%
600066	600340	56.73%	8.14%	22.06%	28.57%
600104	600741	-6.85%	-6.27%	17.09%	11.27%
600118	600893	22.05%	8.57%	8.99%	4.53%
600196	600690	15.81%	23.60%	17.60%	2.96%
600196	600703	50.07%	14.86%	136%	6.52%
600276	600887	-13.96%	-27%	-0.24%	41.09%
600436	600887	20.57%	-0.35%	16.70%	33.05%
600519	600276	1.27%	-11.64%	-30.93%	1.11%
600741	600690	-0.47%	19.50%	11.99%	325%
600887	600690	24.54%	-7.26%	-2.40%	21.60%
600887	600703	62.66%	4.44%	7.14%	39.03%
600887	601888	17.92%	0.63%	9.16%	19.67%
601398	601939	14.52%	4.75%	1.81%	30.46%
300015	600066	3.68%	14.39%	-3.71%	9.31%

Table 2: Annual Returns of Pairs with Threshold of Two SD (Continued)

Pairs		Annual Return			
		2015	2016	2017	2018
300024	600893	74.77%	24.67%	33.45%	-9.00%
300024	600118	43.72%	5.65%	5.71%	-6.49%
300059	300024	0.72%	7.55%	14.19%	12.15%
300059	600271	-7.47%	24.00%	15.61%	-15.00%
300059	600893	-5.86%	15.44%	58.50%	6.82%
300122	600887	38.32%	27.80%	42.39%	10.88%
300136	600276	-11.07%	-14.21%	24.37%	9.42%
300136	600816	-2.97%	8.79%	-7.68%	-2.51%
300144	300033	90.08%	14.06%	24.35%	-21.63%
600009	600276	-43.89%	1.09%	-8.86%	25.93%
600703	600690	4.24%	26.61%	3.63%	47.09%

The next step is to calculate the annual returns of portfolio. The results are reported in Table 3. The annual returns of portfolio are compared with the annual returns of CSI 300 Index using buy-and-hold strategy. Both annual returns calculated in different thresholds of one and two standard deviation (the standard deviation of co-integration equation error term) are higher than the annual returns of CSI 300 Index in 2015, 2016and 2018. But the annual returns with different standard deviation are lower than the annual returns of CSI 300 Index in 2017. The average annual returns and the standard deviation of the annual returns are also shown in Table 3. Both average annual returns calculated with different thresholds are higher than average returns of CSI 300 Index. Meanwhile, both standard deviation of annual returns calculated with different thresholds are lower than CSI 300. This may imply that the annual returns of portfolio using the co-integration approach are more stable than the annual returns of CSI 300 Index.

Table 3: The Annual Returns of the Portfolio and CSI-300 Index

Annual Return	2015	2016	2017	2018	Average Annual Return	SD
Portfolio 1SD	23.04%	8.34%	13.49%	15.33%	0.150	0.075
portfolio 2SD	17.49%	8.61%	10.49%	13.79%	0.122	0.047
CSI-300 Index	2.46%	-4.59%	20.61%	-27.08%	0.062	0.130

10. Summary of the Findings and Conclusions

This research attempts to discover whether the co-integration approach of pairs trading can make profit in China's stock market or not. The stock prices of firms included in CSI 300 Index from 2015 to 2018 are tested.

First of all, the long-term equilibrium and short-term disequilibrium are tested with the daily data of CSI 300 constituent stocks. The results of this study show that the co-integration and error correction mechanism exist in China's Stock Exchange. Hence the arbitrage opportunities are assumed there. The Pairs Trading strategy of co-integration approach which generates profit from the short-term disequilibrium of stock price is applied.

The annual returns of portfolios using Pairs Trading strategy are higher than the annual returns of CSI 300 Index using buy- and -hold strategy in 2015, 2016 and 2018, but they are lower than CSI 300 Index in 2017. However, overall average annual returns of portfolios using pairs trading strategy from 2015 to 2018 are higher than CSI 300 index and the standard deviation of annual returns is lower than CSI 300 Index. The result shows that Pairs Trading strategy of co-integration approach helps generate profits with more stability than market returns. This is consistent with the study by Puspaningrum [10], Li et al. [9], and Dunis et al. [3]. Puspaningrum [10] tested the profitability of pairs trading strategy using co-integration approach in Australian Stock Exchange. The results show that co-integration approach can beat the market. Li et al. [9] examined the co-integration relationship between the stock prices of firms listed on both China's and Hong Kong's Stock Exchanges. The results are economical and statistical significant. Dunis et al. [3] demonstrated that the co-integration approach can generate positive and steady returns in European Stock Exchange. On the other hand, Wahab and Cohn [12] find trading to be unsuccessful, in case of the gold-silver spread.

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The Impact of Service Recovery on Customers' Negative Behavioral Intention: The Mediating Effects of Perceived Service Unfairness and Customers' Negative Emotion and The Moderating Effects of Service Failure Attribution and Perceived Corporate Social Responsibility

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Abstract

In recent years, the scale of China's online retail industry has developed rapidly. During the process of rapid development, service failure sometimes occurred inevitably. Therefore, how to improve business service and implement effective service recovery for online retail companies is important issue, which have been discussed by enterprises and related scholars. Therefore, this study makes the hypothesis on the relationship between service recovery by online retail companies and their customers' negative behavioral intentions. The mediating effects of perceived service unfairness and customers' negative emotion and the moderating effects of service failure attribution and perceived corporate social responsibility among the relationship above will also be verified. Questionnaires would be distributed by convenient sampling to 641 undergraduates of one college in Guangdong Province, China, through chatting groups in WeChat or QQ. Data will be analyzed by SPSS 22.0 to verify hypotheses. Suggestions to the service industry would be proposed.

Keywords: Service Recovery; Customers' Negative Behavioral Intention; Perceived Service Unfairness; Service Failure Attribution

1. Introduction

In the process of the development of the digital economy, people are getting more and more attention to enterprises on their service system. The reason is that people 's awareness of the quality of online shopping is constantly increasing, and the role of the B2C field in the whole socio-economic development become increasingly important. During online purchases, buyers and sellers do not communicate face-to-face and the biggest problem of this special transaction method is service fail. Then, customers will feel that it is better to buy in a real shop, and panic will occur invisibly. If customers have been deceived, the intangible psychological pressure seriously affects their emotion, and they can't feel the fair treatment by the company, and their post-purchase behavior intention and satisfaction will also be affected. This study researches on China 's largest internet shopping platform- "T-mall", and invite young shopping group

online to answer questionnaires to explore service recovery by this online shopping mall and its relationship with customers' negative behavior intentions. Based on previous researches, this study will focus on the mediating effects of perceived service unfairness and customers' negative emotion, and the moderating effects of service failure attribution and perceived corporate social responsibility. The research questions are as the following: a) Does service recovery affect customers' negative word of mouth and brand conversion? b) Does service failure attribution affect perceived service unfairness and customers' negative emotion? c) Does perceived corporate social responsibility weaken negative word of mouth and brand conversion?

2. Literature Review

2.1 Service Recovery

2.1.1 Definition

Bell and Zemke [3] proposed that service recovery is a behavioral change in companies transforming bad customers' experiences (such as customers' complaints); Gronroos [8] pointed out that the purpose of service recovery is to create a benign transaction relevance, and effective implementation is the most important [9]. Tax and Brown [18] told us that service recovery is a management process in which an enterprise actively discovers, analyzes, and resolves problems, in which companies need to be real-time and accurate anticipate and handle service failure. This kind of recovery behavior is also a set of active long-term service quality improvement mechanisms [16]. According to Gronroos [8]and Gronroos [9], this study defines the meaning of service recovery as the process that enterprises take to deal with such problems after customers' experienced service failure, in order to maximize the process of recovering customers.

2.1.2 Dimension

This study refers to three dimensions in the four-dimensional division method of Smith, Bolton and Wagner [16]: material compensation, apology, and response speed. Material compensation: the company gives the customers more reasonable monetary compensation or replacement of the product; apology: the relevant person in charge of the enterprise or the after-sale staff gives the customers psychological comfort and expresses a sincere apology in terms of language; response speed: the company faces the problem, cooperating and assisting customers to solve service problems and strive for customers' satisfaction.

2.2 Service Failure Attribution

Smith and Bolton [15] proposed that if the company did not provide the customers with the product or service that the customers expected, the unpleasant purchasing emotion would fill the customer's heart, and the reason would be attributed to the enterprise; Adrian [1] stated that

the service was failure and made the customers feel away from their original intention, the customers determined that the service of the enterprise was unqualified; Fisk, Grove and Stephen [6] pointed out that as long as the product or service expected by the customers were not provided, the reason was that the enterprise service was invalid; Parasuraman [14] also made a similar point, and the enterprise could not meet the level of acceptance the customer desires, or the length of time the customers wait and requests is considered invalid [18]. This study based on McColl-Kennedy and Sparks [12] defined service failure attribution as the process of finding out the cause of invalidity through internal processing, information processing, and processing of information by customers.

2.3 Perceived Service Unfairness

2.3.1 Definition

Inequality in corporate services reflects the imbalance of economic interests and an unequal expression of social relationships. This injustice will deeply hurt customers' self-esteem and affect their emotional and behavioral attribution to the company; it is easy for them to explode in the deep of their hearts [15]. This study based on Forbes, Kelley and Hoffman [7] defined perceived service unfairness as customers experiencing damage to self-esteem, loss of economic benefits, loss of confidence in the company, and no sense of belonging during the shopping process.

2.3.2 Dimension

Extending from the field of agency management to the field of marketing management, the fairness theory includes three dimensions: distributional fairness (result fairness), procedural fairness, and interactive fairness (interactive justice). Based on this, the dimensions of perceived service unfairness are unfairness in results, unfairness in procedures, and unfairness in interactions.

2.4 Customers' Negative Emotion

There is an influential relationship between the service recovery of online retail enterprises and the change in customers' emotion. The buying and selling behaviors are highly interactive, and they are conducted online from the beginning to the completion of the transaction. Therefore, service staff often interact frequently with customers in language, which is very in line with the social situation generated by emotional probation, and it is easy for customers to form positive and negative emotion. This study draws on Westbrook and Oliver [20] to define customers' negative emotion as a reaction in which the customers' experience after using or consuming a certain product or service is not very pleasant, leading to negative emotion deep inside.

2.5 Perceived Corporate Social Responsibility

This study is based on Fisk, Grove and Stephen [6], which defines corporate social responsibility as, while pursuing its own interests, the company has certain obligations to its surrounding stakeholders as well as certain social development responsibilities for the interests of society and the people.

2.6 Customers' Negative Behavioral Intention

This study divides the customers' negative behavioral intentions into two aspects to negative word of mouth and brand conversion.

2.6.1 Negative word of mouth

This study based on Keaveney [11] defined negative word of mouth as a customer who experienced an unsatisfactory purchase experience, told other friends about his or her own experiences, and advised them not to buy or use products or services provided by original merchant.

2.6.2 Brand Conversion

This research is based on Tax, Brown and Chandrashekaran [17], which defined brand conversion as the process in which customers experience negative emotion after service failure, no longer trust the original merchant, and choose another merchant or brand.

2.7 Interrelationships among Variables

2.7.1 Service Recovery and Customers' Negative Emotion

Customers can have very bad emotion, reactions, and negative perceptions when facing service failure. At this time, the company should formulate solutions in a timely and effective manner, and implement recovery strategies to mitigate the negative impact of customers on the business. If the implementation effect is good, the negative emotion is weaker; if the implementation effect is poor, the negative emotion is stronger. Based on this, this study makes the following hypotheticals:

H1: Service recovery negatively affects customers' negative emotion.

2.7.2 Service Recovery and Perceived Service Unfairness

The purpose of service recovery is to make customers feel that they are being treated fairly during shopping. It is concluded that customers who experience different service failure feel different when facing service recovery. After perceiving the fairness evaluation of corporate service recovery, the two concepts are interactive [12]. Service recovery is more, the service unfairness is weaker; service recovery is less, the service unfairness is stronger. Based on this,

this study makes the following hypotheticals:

H2: Service recovery negatively affects customers' perceived service unfairness.

2.7.3 Interrelationships among Service Recovery, Negative word of mouth and Brand Conversion

Too, Souchon and Thirkell [19] proposed that service recovery as an independent variable will affect customers' emotional changes, negative emotion is generated, customers strongly express their dissatisfaction with the company, and eventually evolve into negative word of mouth; if the recovery is not in place, it will also affect the customer's devotion to the brand and eventually change the business, that is brand conversion. The effect of recovery implementation is good, the negative word of mouth is less, and the incidence of brand conversion is small; the effect of recovery implementation is bad, the negative word of mouth is more, and the incidence of brand conversion is large. Based on this, this study makes the following hypotheticals:

H3: Service recovery negatively affects customers' negative word of mouth.
H4: Service recovery negatively affects brand conversion.

2.7.4 Interrelationships between Perceived Service Unfairness and Negative word of mouth

If the company ignores its service failure, delays resolution, and pushes, etc., customers will have negative emotion in their hearts, which will spread to other potential customers through negative word of mouth, causing economic losses to the enterprise. The perceived service unfairness is more, negative word of mouth is more; the perceived service unfairness is less, negative word of mouth is less. Based on this, this study makes the following hypotheticals:

H5: Perceived service unfairness positively affects negative word of mouth.

2.7.5 Interrelationships between Customers' Negative Emotion and Brand Conversion

After the negative emotion appear, it will ultimately affect the customers' willingness to act. Therefore, the final decision of a customer who has experienced service failure is to change the merchant and no longer purchase any products or services from the original merchant. The customers' negative emotion is stronger, the chance of brand conversion is greater; the customers' negative emotion is weaker, the chance of brand conversion is smaller. Based on this, this study makes the following hypotheticals:

H6: Customers' negative emotion positively affects brand conversion.

2.7.6 Interrelationships among Service Failure Attribution, Service Recovery and Perceived Service Unfairness

This research is based on Bitner [4] defined service failure attribution as the reasoning and discrimination of the cause of service failure. Based on the research results of Smith and Bolton (1998), the service failure attribution is divided into the company's own service attribution and third-party attribution (external factors). Service failure attribution is high, and the relationship between service recovery and perceived service unfairness will be strengthened. Service failure attribution is low, and the relationship between service recovery and perceived service unfairness will be weakened. Based on this, this study makes the following hypotheticals:

H7: Service failure attribution plays a positive regulating role in the relationship between service recovery and perceived service unfairness.

2.7.7 Interrelationships among Service Failure Attribution, Service Recovery and Customers' Negative Emotion

The effectiveness of the service recovery will directly affect the customers' negative emotion. The higher the effectiveness of implementation, the smaller (or weakened) customers' negative emotion; otherwise it will increase (or become larger), the two are a negative impact relationship. Service failure attribution is high, and the relationship between service recovery and customers' negative emotion will be strengthened. Service failure attribution is low, and the relationship between service recovery and customers' negative emotion will be weakened. Based on this, this study makes the following hypotheticals:

H8: Service failure attribution plays a positive regulating role in the relationship between service recovery and customers' negative emotion.

2.7.8 Interrelationships among Perceived Corporate Social Responsibility, Customers' Negative Emotion and Brand Conversion

If the customers feel that the company has the responsibility to perform the service recovery, the customers are still willing to continue to purchase its products or services; if the customers feel that the company has not fulfilled its social responsibility, they will have an aversion to it and cause negative word of mouth, eventually a brand conversion is formed. Perceived corporate social responsibility is high, the relationship between customers' negative emotion and brand conversion is weakened; perceived corporate social responsibility is low, and the relationship between customers' negative emotion and brand conversion is strengthened. Based on this, this study makes the following hypotheticals:

H9: Perceived corporate social responsibility plays a negative regulating role in the relationship between customers' negative emotion and brand conversion.

2.7.9 Interrelationships among Perceived Corporate Social Responsibility, Perceived Service Unfairness and Negative word of mouth

Customers will realize from the side whether the company has the courage to take on social responsibilities and obligations many times, and the high-quality evaluation of the rest of the company will be revealed from the bottom of the heart, especially when facing pessimistic emergencies, they will be more proactive. Thinking is from a different perspective [20]. The perceived corporate social responsibility is stronger, the relationship is weak between perceived service unfairness and negative word of mouth; the perceived corporate social responsibility is weaker, the relationship is stronger between perceived service unfairness and negative word of mouth. Based on this, this study makes the following hypotheticals:

H10: Perceived corporate social responsibility plays a negative regulating role in the relationship between perceived service unfairness and negative word of mouth.

2.7.10 Perceived Service Unfairness and Customers' Negative Emotion

Poor service recovery can make customers feel unfairness, bad emotion and negative psychological reactions [1]. The perceived service unfairness is stronger, the customers' negative emotion is greater; the perceived service unfairness is weaker, the customers' negative emotion is lower. Based on this, this study makes the following hypotheticals:

H11: Perceived service unfairness positively affects customers' negative emotion.

3. Methodology

3.1 Research Framework

After discussing and collating the relevant literature in Chapter 2, this study believes that after service failure, there is an effect on customers' negative behavioral intention by service recovery under the mediating effects of customers' negative emotion and perceived service unfairness; there is an effect in the relationship between customers' negative emotion and perceived service unfairness by service failure attribution under the moderating effects; perceived corporate social responsibility plays a moderating role in the two relationships between perceived service unfairness and negative word of mouth, customers' negative emotion and brand conversion. Based on this, this research proposes a research framework, as shown in Figure 1:
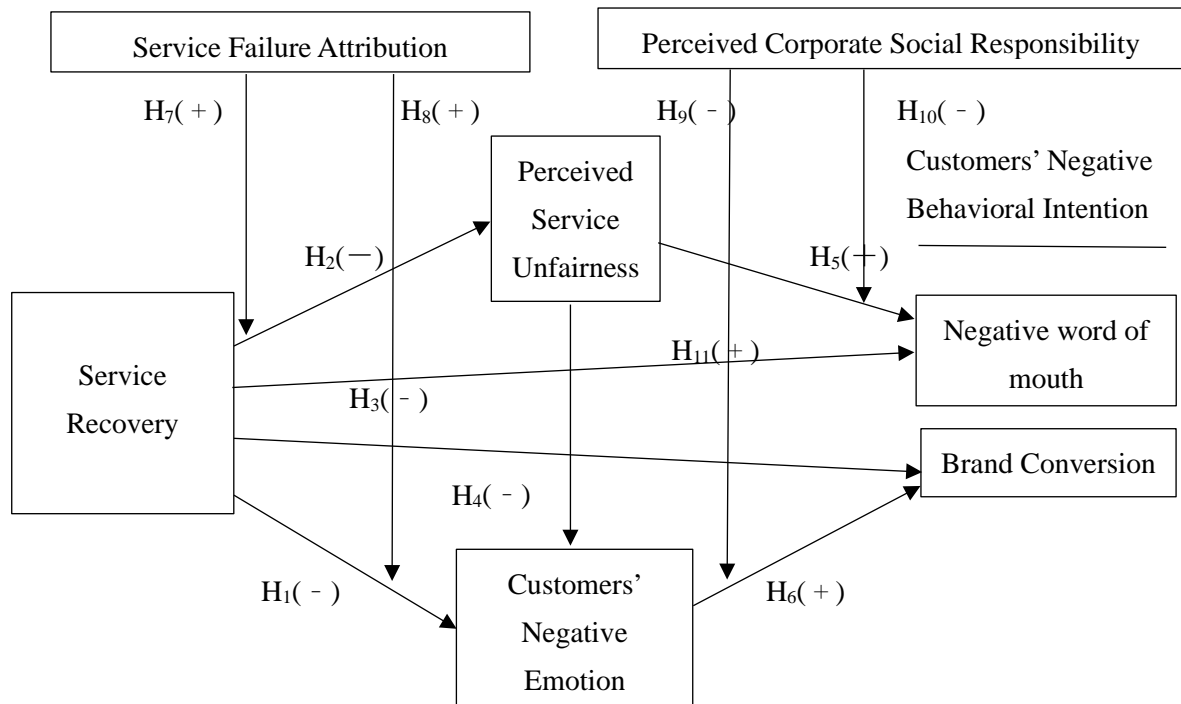
Figure 1: Research Framework

3.2 Operational Definition and Measurement

3.2.1 Service Recovery

The operational definition of service recovery in this study is that unfortunately encounter service failure when purchasing products or services, and companies make a series of recovery measures for customers. Therefore, this study refers to the scales of Smith, Bolton and Wagner [16]; Tax, Brown and Chandrashekaran [17]; McColl-Kennedy and Sparks [12]. The five-point Likert scale was used as the question option for this study.

3.2.2 Service Failure Attribution

The operational definition of service failure attribution is: companies and customers communicate through human-computer interaction, and the entire transaction process (Online to Offline) is often not seen. Therefore, this study refers to Bitner [4] to sort out the scales and design a 6-question item and use the five-point Likert scale as the question option for this study.

3.2.3 Perceived Service Unfairness

In this study, the operational definition of perceived service unfairness is that the company's service recovery makes customers feeling unfairly treated. After communication, customers still did not feel the friendly relationship between the other party's politeness, sincerity, and concern. The service staff could not solve the problems reflected by customers in a timely

manner. The company's service recovery policies and procedures were opaque, and there is a sincerity to evade corrections. Therefore, in this study, five question items were designed with reference to the scales of Oliver [13] and the five-point Likert scale was used as the question option for this study.

3.2.4 Customers' Negative Emotion

The operational definition of customers' negative emotion is that customers experience service failure after paying to purchase products or services, feel that they fail to meet their own psychological expectations or psychological pleasure, negative emotion spontaneously arise, and psychological changes from hope to disappointment. Therefore, this research comprehensively refers to Oliver [13]; Smith and Bolton [15], the relevant measurement the table is designed with five questions and five-point Likert scales are used as options for this research.

3.2.5 Perceived Corporate Social Responsibility

The operational definition of perceived corporate social responsibility is that one of the most important aspects of customers' awareness of corporate social responsibility and understanding is the responsibility of the enterprise to the customers, which includes qualified and safe product quality, comprehensive information provided by the customer to the customer, and no deception. Customers and enterprises are proactive and sincere in providing service recovery. This study comprehensively refers to the measurement table of Smith and Bolton [15], the relevant measurement the table is designed with four questions and five-point Likert scales are used as options for this research.

3.2.6 Customers' Negative Behavioral Intention

The operational definition of customers' negative behavioral intention is that after the customers encounter service failure, he cannot reach his own psychological expectations, involuntarily generates negative emotion, and feels unfairly treated; if the company cannot make the customers feel service satisfied with the recovery, the customers will pass on their personal experience to other people through the platform message area or negative word of mouth to vent his dissatisfaction, and eventually lead to brand conversion. Based on this, this research comprehensively refers to Too designed a questionnaire with 6 questions and used the five-point Likert scale as the research question Options.

3.3 Participants and Data Collection

The participants for this study were 15,000 undergraduates from the freshman to senior year of H College of Guangdong-Hong Kong-Macao Greater Bay Area along the Lingding River in the Pearl River Delta of Guangdong Province, China. This research is a probe survey, college

students are the young consumer groups of online shopping and the main force of online shopping. Every individual surveyed is homogeneous. Considering factors such as time, cost and convenience, this study adopts convenient sampling. This study invites undergraduate teachers of H College to assist in randomly selecting two classes of undergraduates in each grade. The number of undergraduates in each class is 80, and the total of the four grades is about 640. At the same time, it sends the online questionnaire link to the class's WeChat group or QQ group for students to answer, and the rest of the class will follow. After all questionnaires were collected, the Cronbach Alpha value was analyzed using reliability analysis in the software tool SPSS 22.0, removing the ineffective questionnaires for missing answers, invalid answers, and option answers that clearly did not match the item description or the options were consistent.

3.4 Research Instrument

The instrument is used to collect data for this study is an electronic version of the questionnaire. Based on full consideration of the research framework constructed by the institute and the research hypotheticals made, the electronic version of the questionnaire finally covers eight parts. Details can be found in Appendix 1. The first part contains the basic information such as the students' ages, gender, grades, etc.; the second to eighth parts are about service recovery, service failure attribution, perceived corporate social responsibility, customers' negative emotion, perceived service unfairness, negative word of mouth and brand conversion, the measurement of each scale uses the Likert 5 points method: "Strongly Agree-5 Agree-4 No Opinion-3 Disagree-2 Strongly Disagree-1"

3.5 Data Analysis

3.5.1 Reliability and Validity

(a) Reliability
This study judges the coefficient of Cronbach 's α. If the value of α is greater than or equal to 0.7, it means that the reliability is very good; otherwise, it means that the reliability is low and unacceptable.

(b) Validity
The structural validity detection in this study will be analyzed from two aspects of convergence validity and differential validity. Convergence validity generally refers to whether each measurement item reflects the same characteristic. Multiple similarity measures are used to determine the similarity of specific characteristics. Convergence validity is mainly through the combination reliability of confirmatory factor analysis (Composite Reliability, CR) and average variance extracted (AVE).

3.5.2 Regression Analysis

The purpose of this study is to verify hypotheses through regression analysis to test the relationship between service recovery and customers' negative behavioral intention, and to treat perceived service unfairness and customers' negative emotion as mediating effects; service failure attribution and perceived corporate social responsibility as moderating effects.

3.5.3 Mediating Analysis and Moderating Analysis

The mediating analysis method proposed by Baron and Kenny [2] to test whether there is a mediating effect between service recovery and customers' negative behavioral intention. The moderating variables involved in this study are service failure attribution and perceived corporate social responsibility. Generally speaking, there is an interaction between the moderating variable and other variables, especially as an interaction term in regression analysis.

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Green Human Resource Management and Green Employee Purchase Behavior: Research and Relationships

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Abstract

This study explores the impact of so-called green human resource management on employees' green consumption behavior. The research analyzed data based on recycling questionnaires given to staff from a technology company. Using five hypotheses developed from the literature, the results confirm that Green human resource management practices positively affect employees' green consumption behaviors. Green human resource management practices are also positively correlated with employees' green behaviors. In turn, these green behaviors are positively correlated with green consumption behaviors. The results show that employees who are more environmentally-conscious are more likely to show green behaviors. Environmental awareness plays a positive role in regulating the green behavior of employees and green consumption behavior. The study provides a reference value and practical applications for the scope of future green human resource management research.

Keywords: Green Human Resource Management、 Employees' Green Workplace Behavior、 Employees' Green Consumption Behavior、 Environmental Awareness

1. Introduction

According to Michel, Jasmin and Guido [19] the world faces greater environmental problems over time, with an increasing number of people concerned about environmental issues. In 2008, the United Nations supported the "Green Economy Initiative" responding to governments that wanted to promote, a green economy and stricter environmental protections. At the same time, companies implemented policies that support green workplace culture and green management processes through their human resources departments. With green human resource management practices, firms can extend their resources and capabilities to create sustainable competitive advantages in corporate culture, corporate reputation, and the enterprises, including image knowledge, skills, and learning ability at all levels [7] [22].

Researchers define green human resource management as HR activities that create better work conditions, improve efficiency, and reduce expenses. Green policies help companies reduce their carbon emissions through the use of electronic documents, vehicle sharing, work sharing, and remote coordination. Other examples include virtual meetings, working from home, and effective use of office space [16].

In order to stay current with green trends, businesses often advocate environmental, protections (e.g., "love the earth"), sustainable development, and other consciousness-building programs. Many enterprises go further through their advocacy of green consumption behavior. Green consumption behavior refers to consuming products with the least impact on the environment [20]. Company leaders are expected to lead this wave of environmental protection. They fulfill their obligation of environmental protection and loving the earth. In this new era, green human resource management also takes an active role.

Uddin [50] said that green human resource management is a series of activities that include: recruitment; training and development; performance and evaluation; employee relations ; and compensation and rewards. Green objectives are directed by human resource departments to ensure sustainability and to achieve organizational goals. As a first step, companies often add green elements to their mission statement, so that the workforce follows a green culture. Leaders must value the environment and emphasize those green values in the minds of employees. This shows modern, innovative thinking as part of the corporate culture. It's reflected in company and daily work processes used by all employees.

Through green human resource management, firms can combine corporate environmental management with human resource management [47]. Environmental protection knowledge becomes integrated with corporate management, and human resource management practices promote the corporation's environmental strategic goals. This creates human resources with green competitiveness; promotes and helps to achieve corporate environmental management goals; and realizes the goal of sustainable development of enterprises [40].

The term "green behaviors for employees in the workplace" involves or contributes to environmental sustainability in the organization. This includes manufacturing sustainable products and processes; avoiding hazards and preventing environmental pollution; reusing reusable resources ; and conducting environmental education, training, and other green actions [23]. Green behaviors are actions that minimize environmental damage, reduce energy consumption, and reduce waste. An organization's sustainable goals cannot be achieved without the help of employees' green behaviors in the workplace.

Balderjahn [6] found that consumers with environmental protection values and positive attitudes choose to consume and use products with green attributes. Green consumption is the consumption of environmentally friendly products and the avoidance of products that are harmful to the environment [9]. Green consumption is most often measured as green consumption intentions and behaviors. Green consumption intention refers to the willingness of consumers to consume green products, and the intention captures the motivation factors that

influence consumers' green consumption behavior [29]. Products that are more eco-friendly and recyclable are defined as green consumer behavior [18].

According to Michel, *et al*. [19] the rapid advance of science, technology, and industry has led to large amounts of pollution, garbage, and waste. The ecological environment could be destroyed, causing great damage to the earth. Researchers have also started to review how one's consumption behavior can change the impact on the ecological environment and the environmental awareness of consumers.

2. Literature Review

2.1 *The Impact of Green Human Resource Management on Green Consumption Behavior*

Green human resource management and employee green performance play key roles in employee green attitudes and employee workplace green behavior [11]. Peng, Nan, Pang, Marin, Marzucchi, Vona [48] found that the change of work content among employees can affect the implementation of environmental management. Employees with high cognitive ability and communication skills can more quickly achieve environmental management goals.

According to Muster and Schrader [21], green human resource management can affect employees and allow them to balance their work and personal lives, showing green consumption behavior in both work and personal spaces.

In the literature, green human resource management focuses on applying formal concepts of green policies, practices, and systems in order to transform regular employees into green-oriented employees with green goals and behaviors in the sustainable development of the organization. This covers all activities including selection, recruitment, training, and development, rewards, and benefits, performance and employee participation [12].

Based on this literature discussion, the following research hypotheses are proposed:

H1： Green human resource management has a significantly positive affect on employees' green consumption behavior
H1a： Green recruitment and recruitment practices has a significantly positive affect on employees' green consumption behavior
H1b： Green training practice has a significantly positive affect on employees' green consumption behavior
H1c： Green reward practices has a significantly positive affect on employees' green consumption behavior
H1d： Green performance practices has a significantly positive affect on employees' green consumption behavior
H1e： Green participation practices has a significantly positive affect on employees' green

consumption behavior

2.2 The Impact of Green Human Resource Management on Employee Workplace Green Behavior

Research on employee green behaviors in the workplace is still in the development stage. Green behavior research in the workplace [25] [28] and at home [30] often conceptualizes it as self-published behavior. Experts in organizational psychology point out that not all workplace green behaviors are disposable [24]. Overall, the behaviors we demand help differentiate between the core business goal behaviors and voluntary behaviors, and the organizational, social, and psychological environments that contribute to organizational performance [5].

Based on this literature discussion, the following research hypotheses are proposed:

H2：Green human resource management has a significantly positive affect on employees' green behavior in the workplace
H2a：Green human resource management has a significantly positive affect on employees' spontaneous green behavior

2.3 The Impact of Employee Workplace Green Behavior on Green Consumption Behavior

When implementing environmental management (in addition to energy conservation, carbon reduction, and cost controls), companies can adopt environmental protection programs to promote the green behavior of employees. First, companies may use green marketing [26]. Green marketing is no longer a slogan. It is a marketing solution that allows companies to be closer to their customers.

Previous research has also mentioned how green values can affect attitudes and green consumption behavior [6] [37]. Consumers care whether the company complies with environmental protection principles. With recent environmental changes, business owners have learned the importance of green marketing [46] and have tried to understand the determinants of green consumption behavior with green marketing [17]. Some studies that looked at the consumer behavior of green consumers analyzed demographic characteristics [14].

Based on this literature discussion, the following research hypotheses are proposed:

H3: Employee workplace green behavior has a significantly positive affect on employee green consumption behavior

2.4 Moderating Role of Environmental Awareness

Jianzhong and Erwei [1] found that in the operation of green enterprises, there is a need to discover, meet, and guide demand in order to lead customers to consumption and establish

correct values. Certainly, business owners should avoid manufacturing and consumption that damages the environment. The term "green work-life balance" emphasizes that green behaviors at work are related to green behaviors in personal life. It is necessary to integrate environmental protection values and environmental protection consumption behaviors in employees' work and personal life, while promoting environmental protection values and environmental protection behaviors in both aspects. Performance [21].

Based on this literature discussion, the following research hypotheses are proposed:

H4：ith increasing product involvement level, consumer product knowledge has a stronger impact on the consumer information search intention.

3.   Research Methodology

3.1 Research Conceptual Framework

This research includes four variables: green human resource management, employee workplace green behavior, green consumption behavior, and environmental awareness. According to the literature review and research purposes, this study assumed that green human resource management is an independent variable and employee workplace green behavior is an intermediary variable. Employee green consumption behavior is a dependent variable, and environmental protection awareness is a mediation variable. The research framework is shown in Figure 3.1 below:
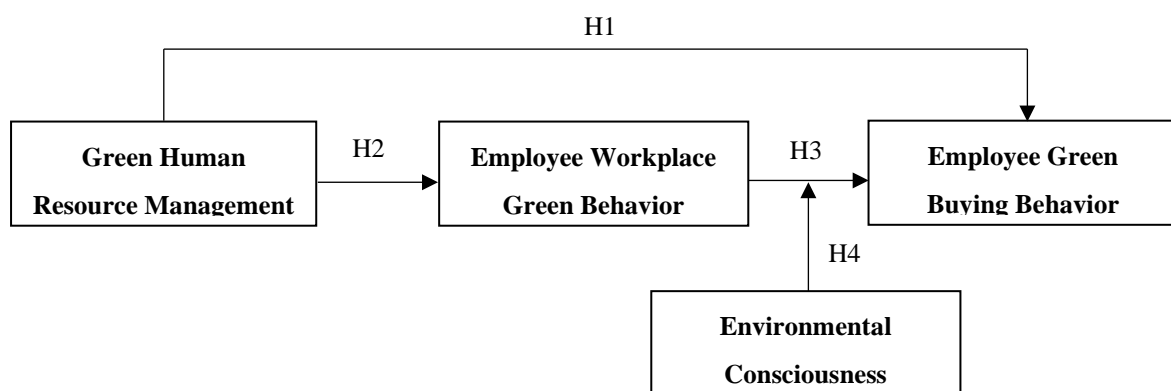
Figure 3.1 Research Framework
Data resource：This research organizes

3.2 Variable Measurement

This research defines green power resource management as green human resource management, which will spread internally through environmental management-related activities (e.g.,

reducing carbon emissions, arranging environmental education courses, testing 'applicants' environmental knowledge) through human management. The green behavior of employees is transformed into green employees, which in turn achieves the company's green goals and ultimately contributes significantly to environmental sustainability. Using the Green Human Resource Management Scale developed by [35] the questionnaire has matured after several tests. This scale summarizes 19 topics, such as: "I feel the company is green for knowledge education (e.g., implementing environmental education, instilling environmental knowledge, and behaviors, etc.)" or "I feel that the company provides employees with environmental-related benefits" (e.g., environmental protection benefits such as emission-free cars, field trips, etc.)

This study defines employees' green behaviors in the workplace as employees in the workplace who show that they allocate energy to the company to save energy, reduce environmental damage, and perform other tasks. They turn them into environmental protection knowledge sharing, encouraging, and persuading colleagues to show green behavior. Robertson and Barling [49] developed an employee workplace green behavior scale and compiled seven single-dimensional scales. This scale has been translated into Chinese by [4]. (e.g., "I use double-sided printing"; "I will turn off the lights in a timely manner", etc.) seven questions.

This study defines green consumption behavior as employees' who: develop environmental protection strategies through the company; acquire environmental protection knowledge; and form environmental awareness in response to company business requirements for workplace green behavior.   This in turn affects employees' willingness to abandon the original brand and repurchase in order to have green attributes of consumer behavior of goods. Liangang [2] measured green consumption behavior through the past experience of consumers in purchasing green goods and their willingness to consume in the future. Based on this, some of the following questions were asked: I used to buy green goods often; I have a willingness to buy green goods in the future; I am willing to buy green goods with high prices; I am willing to accept low-quality green goods.

This study defines environmental awareness as the internal psychological height of green behavior, reflecting the individual's awareness of green, green indicators, and green behavior. People who have environmental awareness take a positive attitude toward green behavior. Using [13] to study the Danish consumer's awareness of environmental protection caused by purchasing organic food, a scale of 10 transformations was developed. Based on this, 10 items were used as the questionnaires used in this research, including: I often discuss environmental issues with friends, I realize that the government's control of environmental pollution measures is sufficient, etc.

3.3 Research Subject

The reason for the implementation of the online questionnaire was used because Dommeyer and Moriarty [10] and Amoroso and Howard [38] cite advantages for using the previous random sampling design method index and using the network questionnaire. They are low cost, offer high returns, and deliver a fast recovery time. In addition, researchers [39] say the questionnaire can avoid the pressure on the introducer during the interview, especially when the questionnaire content involves more sensitive substitutions.

The study reviewed how of green human resource management impacts employee green consumption behaviors. As a sample survey sample, we used an internal company sample. In 2008, the chosen technology company announced the merger of green management with various departments of the enterprise in order to adopt green manufacturing. The firm's next generation of ideas included green buildings, green indicators, green recruitment, and other green-related measures (named "Green DNA"). As part of this effort, human resource managers were committed to reducing paper consumption, using low-carbon technology, reducing business travel, and reducing the use of unwanted materials to reduce carbon emissions. It's an entire organizational process that involves human resources, organizational sustainability, leadership, and employee behavior Xiaojuan [3].

3.4 Data Analysis Method

Green human resources management requires the cooperation of internal employees of the entire organization in order to show its implementation performance. Therefore, the scope of sampling is not limited to department employees, and random sampling methods are used. A population is a group of internal employees of the company. Validity test. This study is based on Haimann's reliability test and on the standards set by Cronbach's alpha reliability coefficient method developed by [8] [15]. The difference between Parlange [27] and the criterion for convergence validity is the uniformity of the data. CFA, this was used to test the measurement of aggregation validity and discriminant validity, and AVE considers the discriminant validity, unity, and combined reliability of the scale to test whether different measurement sizes in the questionnaire have reached certain reliability and validity.Regression analysis. This study used the SPSS regression analysis method to test whether the regression analysis of green human resource management and employee green consumption behavior is a significant relationship and whether the measurement variables have a significant effect.

4. Expected Research Results

The study followed the requirements of convenient distribution formulated by Borman and Motowidlo [5], which states that the number of allocations should be 10 times the measured variable. Therefore, 490 valid questionnaires (49 total measured items) were collected and

followed up. The research used statistical analysis data quantity standards, replacing the invalid samples of skipped answers, skipped answers, unanswered questions, blank questions, and consistent questions [3]. The questionnaire pre-test work was conducted in advance and used scales after multiple tests. The variables, sizes, and items of the scale were checked, and then a questionnaire created.

Statistical analyses and verification of the recovered data were based on the research hypothesis. The statistical methods used included: reliability; convergence and discriminant validity; AVE model fitting index; and regression analysis. After the data analysis was obtained, the variables and assumptions in each data were used to predict the research results. (1) Green human resource management positively affects employees' green consumption behavior (2) Green human resource management practices have a positive correlation with employee color behavior (3) Employee green behavior has a positive correlation with green consumption behavior; and (4) Employees show a positive correlation with high environmental awareness.

The results show that green behavior and environmental protection consciousness does positively regulate the green behavior of employees in the workplace and green consumption behavior. There are limits to the current research. Based on this study, we hope to provide a reference value for future research and practical applications in related fields.

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The Influence of Emotional Leadership on Employee Voice Behavior－The Mediating Role of Emotional Commitment And Employee Self-efficacy

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Abstract

In today's fiercely competitive information age, companies want to improve their competitiveness and seize the market quickly, they need to have the latest information. When enterprises encounter difficulties, they need timely suggestions and suggestions from their employees to respond quickly. And it is particularly critical that employees dare to make recommendations to the organization. Therefore, this article has compiled relevant literature and constructed a research framework. By developing a questionnaire, the research results are expected to be: Emotional leadership has a direct positive impact on employee voice behavior. Emotional leadership indirectly affects voice behavior by influencing employee emotional commitment and employee self-efficacy, That is, emotional commitment and employee self-efficacy play an intermediary role between emotional leadership and voice behavior.

Keywords: Emotional Leadership; Emotional Commitment; Employee Voice Behavior; Employee Self-efficacy

1. Introduction

At present, the market is changing rapidly and the competition is fierce. The manager needs to get information related to the decision from the staff to make up for the lack of awareness, so as to quickly and properly respond to changes in the external environment, Correct the deviation before further deterioration of the problem, in order to face a fleeting market opportunity and make effective decision-making [1].The tragedy of Foxconn's collective jumping event has caused us to think [2]. As the originator of the statement is the employee, it is necessary to know the employee's demands if the employee wants the staff to actively put forward the constructive suggestions to avoid the loss. Since people have inherent emotional needs, it is necessary to establish a harmonious emotional relationship between the subject and the object of management to play the expected role of management [3].

In terms of existing research, a large number of studies have explored the significant influence of leadership styles and behaviors on the Employee Voice Behavior, such as transformational

leadership, ethical leadership, exchange of leadership members, humiliating management or improper supervision, while the research on emotional leadership is relatively limited [4]. Wang[5] pointed out that the empirical support for the influence path of affective leadership on voice behavior is relatively lacking, and urged that future research should be further verified in empirical evidence.

Therefore, the motivation of this study is based on the theory of social exchange and the current situation of emerging knowledge-based employees in the context of China. Exploring the influence mechanism of emotional leadership on employee voice behavior in the financial industry and education industry through the mediating role of employee self-efficacy and emotional commitment, And hope to give some suggestions for the future management of related enterprises, and further enrich the research data in related fields, in order to establish a solid foundation for the development of related fields.

Based on the above research background and motivation, this study summarizes the following research questions:(1) What is the relationship between emotional leaders' emotional commitment and employee self-efficacy?(2) How does employee emotional commitment and employee self-efficacy affect their voice behavior?(3) Does employee emotional commitment have intermediary effect between emotional leadership and employee behavior?(4) does employee self-efficacy play an intermediary role between emotional leadership and employee behavior?(5) Can it further reveal the influence mechanism of emotional leaders on employees' suggestion behavior?

2. Literature research and hypothesis development

2.1 Emotional leadership and emotional commitment

Wang [6] believes that emotional leadership mainly refers to the focus on "people" in the leadership process. A very humanistic leadership style centered on improving team cohesion, affinity, and building harmonious interpersonal relationships, which makes employees emotionally dependent on the organization, and then motivate them to achieve organizational goals. However, in the Chinese context, emotional leadership is a relationship-oriented leadership behavior which focuses on building good relationships between people, as well as humane care and management methods to stimulate employees' spontaneous behavior and attitudes [7].

Emotional commitment is a positive and strong attitude of employees towards the organization, which is manifested in their contribution to organizational goals and common values [8]. In addition, emotional commitment is the psychological dependence of employees on the organization, and employees make commitments to the organization because employees are

willing to do so [9]. A study has shown that the emotional commitment of employees will be influenced by leadership factors [10]. This study believes that emotional leadership can promote employees' emotional commitment to the organization.

First of all, according to the theory of social exchange, the two sides through the exchange of their own resources to achieve mutually beneficial purposes in the process [11]. Emotional leaders will first seek the wishes of their subordinates when making decisions, which will make employees feel trusted by the leaders. This consideration and respect of the employees will make the employees feel trusted by the leaders, As a result, they will build a deeper sense of identity in the organization. Some studies have explored from the perspective of social exchange that when employees are treated well by leaders, they will return with a higher organizational emotional commitment [12]. At the same time, Neubert [13]pointed out when knowledge workers participate in the organizational decision-making process and have appropriate autonomy and voice power, they sense that they are respected and recognized, and at the same time, they will improve their emotional commitment.

Secondly, leaders' emotional care for subordinates can enhance their emotional commitment [14]. Emotional leaders take the initiative to understand and help employees with work and life problems, which makes employees feel cared for and they feel a sense of belonging and identity.

Finally, the emotional leaders can carefully perceive the changes in the mood of the staff, and adjust the negative emotion of the staff and arouse the enthusiasm of the staff. And employees 'positive emotional states can significantly increase employees' emotional commitment to the organization [15]. Base on the above literature, the hypothesis 1 for this study is developed as follows:

H1: Emotional leadership has a positively influences emotional commitment.

2.2 *Emotional leadership and self-efficacy*

Self-efficacy was first proposed by Bandura [16], which refers to the degree of confidence people have in their ability to use specific skills to complete a specified work behavior before they act. While Wang [17] believes that self-efficacy is an overall degree of self-confidence of individuals in coping with the challenges of various environments or facing new things.

Self-efficacy mainly comes from past success or failure experience, alternative experience, verbal persuasion, and emotional state. Self-efficacy can be improved in positive emotional state [16]. In the dimension of emotional management, emotional leaders pay attention to and take care of the emotional state of employees and create a good and relaxed organizational

atmosphere, maintaining employees' positive emotions, thereby improving their self-efficacy.

According to the theory of planned behavior, the evaluations and opinions of leaders in the organization and surrounding colleagues will directly affect the subjective expectations of individuals, The expectations and approvals of leaders and colleagues will increase individuals' positive evaluations of their behaviors and abilities. From the Perspective of emotional leadership emotional Care, The leaders care about employees' careers and provide timely support and help to the difficulties encountered. Leaders will consider the opinions of employees before making decisions. These behaviors of leaders can make employees feel understood, listened and recognized Therefore, they will be more confident when faced with work and tasks [18]. And there is an empirical study, Managers appreciate and encourage the development of employees 'self-leadership awareness and ability of employees, it can enhance employees' self-confidence in coping of various environments [19]. According to the above literature it would conclude the hypothesis 2 for this study as follows:

H2: Emotional leadership is positively affecting employee self-efficacy.

2.3 Emotional commitment and employee voice behavior

At present, the academic circles agree with the definition of suggestion behavior by LePine and Van Dyne [20]. That is to say, the purpose of vocal behavior is to improve the status quo and establish interpersonal cooperation, not just criticism, reports and complaints. Even if others oppose, they will make constructive suggestions on change or process.

According to the theory of social exchange, when employees have a high emotional commitment to the organization, they are more likely to actively return to the organization. Positive suggestions are one of them [21]. Past empirical studies have also confirmed the emotional commitment improves employee job satisfaction, extra - role behavior and active organizational citizenship behavior to some extent [22][23].

The theory of planned behavior holds that behavioral intention depends on behavioral attitude, supervisory norms, and perceived behavioral control. The more positive the attitude of the individual, the greater the support for others, the stronger the perception behavior control, the greater the individual's behavior intention, and vice versa.

In particular, employees with high emotional commitment have a positive attitude towards the organization and support the organization's goals and vision, and will sincerely hope that the organization will be better, So they will be more active in finding ways that are conducive to the development of the organization and presenting to the organization the thought of having

constructive opinions about the organization. On the other hand, when employees find that there are problems that are not conducive to the better development of the organization, they will have a stronger intention of act, and tell the leaders these issues to stop the loss in time and protect the interests of the organization. Base upon the above literature, the conclusion of hypothesis 3 for this study is inferred as follows:

H3: The emotional commitment of employees is positively relatd to the behavior of employees' voice.

2.4 *Employee's self-efficacy and employee's advice behavior*

As a kind of extra-role behavior of employees, the suggestion behavior has certain risks and may even lead to the breakdown of employees' interpersonal relationships [24]. But employees with high self-efficacy have better interpersonal skills and are more likely to maintain good relationships with others [25]. When they face work pressures and difficulties, they have greater confidence and initiative to ask colleagues and leaders for help. And they believe that they will not be blamed by leaders even if they fail to achieve good expected results [26]. So it will promotes employee's advice.

The social cognition theory holds that the individual (inner), the behavior and the environment (outside) constitute the dynamic interaction relation, It emphasizes that self-efficacy as an individual's cognitive psychological factor, will influences the propensity of individual behavior choice [27].

That is to say, people with high self-efficacy are more able to engage in and control their own behavior, while those with low self-efficacy are relatively indifferent or turn a blind eye to things [28].When employees find that there are some bad things within enterprise, people with a high sense of self-efficacy will not ignore them, and will do their best to put forward their own views to the enterprise in the hope that it can stop the existing injuries in time. Therefore, according to the above literature the concluding hypothesis 4 for this study is inferred as follows:

H4: Employee self-efficacy is positively relatd to employees' voice behavior.

2.5 *Emotional leadership, emotional commitment and employee's advice behavior*

According to the emotional event theory, employees' emotional experience will affect their work attitude, and then affect their work-related behavior [29]. On the one hand, the emotional commitment refers to the emotional attachment, identity and investment of employees to the organization. When employees experience a pleasant or competent experience at work, they increase their emotional commitment to the organization [30]. Therefore, once employees feel

emotional leadership to care about their work life and emotions, employees will deepen their sense of identity, belonging and emotional involvement in the organization.

On the other hand, emotional commitment reflects the psychological connection between employees and organizations [31]. Represents the psychological exchange relationship between employees and organizations. Employees' high emotional commitment means that they have established a good social exchange relationship with the organization, so they are willing to stay in the organization and pay more to achieve the organization's goals [32]. So employees with high emotional commitment are more likely to make recommendations to their leaders when they find something that can improve the organization's existing performance.

And it has been proved that a leader who is adept at expressing emotion and mobilizing employee emotion in an artistic way can effectively alleviate the work stress and anxiety of employees, it also helps to create a positive and healthy working environment, And the effectiveness of its management tends to increase significantly [33]. According to the above literature the conclusion of hypothesis 5 for this study is inferred as follows:

H5: Employees 'emotional commitment to the organization is a mediator of the influence of emotional leadership on employees' voice behavior.

2.6 Emotional leadership, Self-efficacy and employee's advice behavior

Social cognitive theory holds that self-efficacy is the nearest cognitive variable to individual behavior, and it is also an important intermediary variable that transmits the influence of external environmental factors to behavioral factors [34].

When a leader asks and respects the employee's thoughts before making a decision will give the employee a self-affirmation conviction, As a result, self-efficacy as part of employees' positive self-belief will also be enhanced. They believe that they can make constructive suggestions and that these can be recognized and adopted by leaders, Thereby carry out positive suggestion behavior. Moreover, studies have demonstrated that behaviors such as leadership assistance, empowerment and participation in decision-making of employees can significantly enhance employees' sense of security and subjective evaluation of self-knowledge [35].

According to the ternary interaction model of social cognition theory, people, their internal factors, and the environment have an influence on each other. Leadership, as an important part of the organizational environment, their attitude about innovation and change, forms an inherent organizational atmosphere which indirectly affects the behavior of members in the organization. Emotional leaders pay attention to the lives and emotional states of employees and create a

positive and harmonious organizational atmosphere. Not only can these strengthen the relationship between leaders and employees, but they can also make employees feel the importance of the organization and enhance their sense of belonging and Employee self-efficacy, and further generate more organizational citizenship behaviors, such as voice behavior. According to the above literature it would conclude the hypothesis 6 for this study as follows:

H6: Self-efficacy is a mediator of the influence of emotional leadership on employees' voice behavior.

2.7 Emotional leadership and employee's advice behavior

First of all, emotional leaders give help, support and respect to their employees both at work and in their lives. which will enhance the maintenance of a good relationship between the employee and the leader, Employees are encouraged to be mutually beneficial and are more willing to express organizational citizen behavior to reward leadership, thereby reducing the pressure caused by Leadership care [36].

Secondly, emotional leaders express love for their subordinates, For example, when the subordinate is ill and hospitalized, he visits the hospital, attends the marriage and bereavement of the subordinate family, and so on. It will make subordinates feel that this is a trustworthy leader [37]. According to the theory of social exchange. wh someone obtains the other tangible or intangible resources, the person who obtains the resources will produce the will and behavior of the feedback [38]. So when employees feel the leadership's concern for their work and life, employees will produce the willingness and behavior to give back. They will be emotionally dependent on the organization and the leader, and then willing to take the initiative to do things that are good for the organization, such as advice behavior.

Finally, according to the theory of emotional expansion and construction, the positive emotion can broaden the individual's instantaneous thinking activity sequence, promote the flexibility of the strong cognition, broaden the scope of the cognitive activity, and be beneficial to the individual's comprehensive and systematic consideration [39][40]. Herscovitch and Meyer [41]points out that leadership emotional motivation can create an environment in which employees have sense of security, thus motivating employees to re-test assumptions and existing conditions, redefine problems, and promote employees to solve problems in innovative ways. Therefore, when leaders have high emotional intelligence and take the initiative to care for and help employees, it can significantly increase employee's creativity and they are more likely to make more effective and high-quality suggestions.   Base on the above literature, the hypothesis 7 for this study is developed as follows:

H7: The relationship bebween Emotional leadership employee voice behavior is mediated by employee self-efficacy.

3. Research methods and design

3.1 Research framework

According to the above literature, this study takes emotional leadership as independent variable, emotional commitment and self-efficacy as intermediary variables, and take employee's voice behavior as result variable. The basic framework of this study was constructed as shown in fig.1:
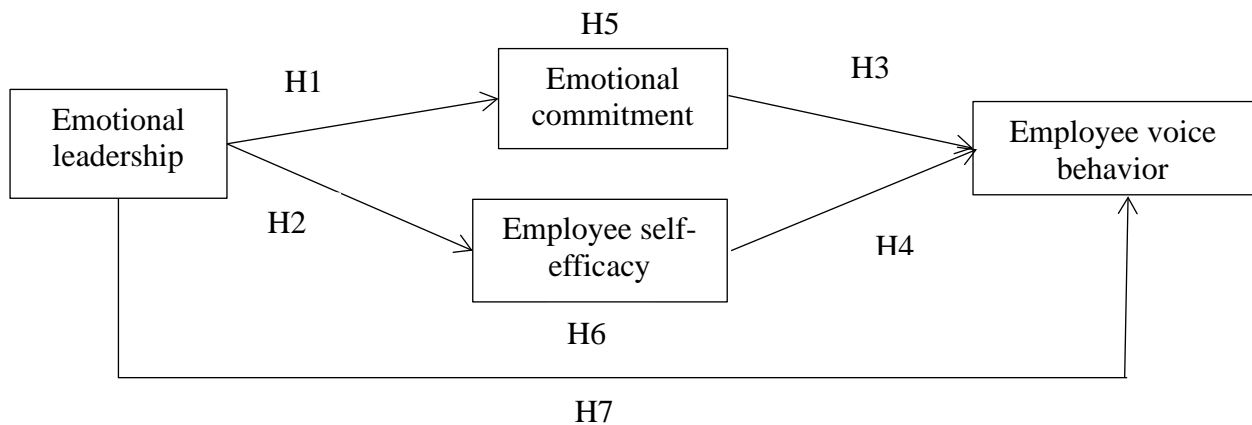
Figure 1: Research framework for this study

3.2 Operable definition and measurement of variables

3.2.1 Emotional leadership

The operational definition of this study draws on the definition of emotional leadership from Wang [6] and Weng et al. [7]. Defining emotional leaders is a kind of leadership behavior which through caring and caring for employees' work and emotion, managing employees' emotions and properly handling interpersonal relationships, so that employees can have emotional dependence and organizational identity on the organization, and then actively achieve organizational goals. We designed 12 questions based on the emotional leadership scale developed by Weng et al. [7], and measured it with a Likert's 5-point scale.

3.2.2 Emotional Commitment

The operational definition of this study draws on the definition of emotional commitment from Brown [8]and Liu [9]. Defining emotional commitment is a strong positive attitude of employees to the organization and is willing to work for the organization. We designed six

questions based on the Meyer, Allen, and Smith [42] emotional commitment scale, and used the Likert's 5-point scale to measure emotional commitment.

3.2.3 *Employee self-efficacy*

The operational definition of this study draws on the definition of employee self-efficacy from Bandura [16] and Wang [17]. This article defines self-efficacy as an overall degree of self-confidence in whether an individual can cope with various new things and challenges through his own actions and produce expected results. In this paper, we designed 10 questions according to the Chinese version of the self-efficacy scale of Schwarzer et al. [43], and measured it with a Likert 's 5-point scale.

3.2.4 *Employee voice behavior*

The operational definition of this study draws on the definition of employee voice behavior from LePine and Van Dyne [20]. The voice behavior is defined as a role external behavior in which employees actively promote constructive comments and suggestions on organizational development issues while promoting organizational performance improvement. we designed 10 questions according to Liang et al. [24]. and measured it with the Likert 's 5-point scale.

3.3 *Research objects and data collection*

This research focuses on employees engaged in finance and education in Chengdu, Sichuan, and Jinan, Shandong. Because education is the foundation of the country, Shandong, as a major educational province in China with a large population, is also the export place of knowledge workers [5]. It has a considerable representative role. At the same time, with the continuous development of the financial industry, Chengdu has become the leader of the new first-tier cities in the global economy [44]. With a strong economic base and a large middle class, emerging intellectuals have more opportunities and are more willing to engage in the financial industry.

Considering the factors of time, cost and convenience, this study uses the convenient sampling method, and uses online and paper questionnaires to collect research samples. The distribution of the questionnaire will be distributed by me and my assistants through field questionnaires.

The online questionnaire is intended to be built on the questionnaire star by the end of March 2020, and friends engaged in finance and education are commissioned to send it to the internal group of the company. In order to improve the seriousness of the subjects, the questionnaire included reverse questions and red envelopes were used as gifts. Participants will be informed through the information table that the participation is entirely voluntary, anonymous and confidential.

According to the sample calculation formula derived by Dillman [45], the sampling error is less than 5% at 95% confidence level, and the effective sample number must reach 384 at the maximum value of population. In order to obtain more accurate data, the effective sample size of this study should be more than 384, Therefore, this study intends to send out 500 questionnaires.

3.4 Data analysis methods

Before analyzing the relationship between the variables, first-step is to test the reliability and validity of the scale, and then perform factor analysis on each variable separately, and the validity was detected by using the Cronbach. According to the suggestion of Baron and kenny [46], this paper uses SPSS software to verify the intermediary effect of emotional commitment and self-efficacy on the influence of emotional leaders on employees' suggestion behavior by hierarchical regression analysis.

4. Expected research results

After the questionnaire is collected, the questionnaire is sorted out. in order to avoid the invalid questionnaire interfering with the research data, eliminate the incomplete and answer the questionnaire by mistake, the correct questionnaire is input into Excel to establish the file for later analysis. SPSS and AMOS statistical software are used to test and analyze the data. After the data analysis results are obtained, each variable and hypothesis are verified, and the research results are obtained.It is expected that the obtained data fiber support research hypothesis: The emotional leadership has a significant positive correlation with the employee's emotional commitment and self-efficacy. Employee emotional commitment and employee self-efficacy have a positive effect on employee suggestion behavior. Emotional leadership has a positive impact on employee suggestion behavior through employee emotional commitment and employee self-efficacy. Emotional leadership has a positive and significant influence on employees' voice behavior, and the assumptions have been confirmed.

In addition, combined with the background of this study, this study will give relevant suggestions: the results show that leaders take care of employees' work, life and emotion, which not only has a benign impact on employees' emotional commitment and employees' self-efficacy, but also helps to improve employees' suggestion behavior. This makes the staff willing to make a statement, dare to make a statement, and can put forward proposals with feasibility, effectiveness and forward-looking.

Therefore, the leadership needs to pay attention to the internal emotional needs of the staff, especially to create a relaxed and happy atmosphere in the team to promote voice behavior, which will become the key effort direction of the management personnel in the future.

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The impact of customer orientation, service quality, and organization reputation: A case study of a bank in China

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Abstract

This research explores the relationship among customer orientation, service quality, organization reputation, and purchase intention. This study has integrated eight dimensions of customer orientation, SERVQUAL model and organization reputation to investigate their influence on purchase intention in customers of China Construction Bank (CCB) in China. Three hypotheses are derived and empirically validated. The study hypothesize that customer orientation has positive impact on service quality while service quality has positive impact on organization reputation. The study also expected that organization reputation has positive impact on purchase intention. A regression analysis is employed to analyze data from 318 respondents who are customer of China Construction Bank (CCB). The empirical results confirmed that effect of customer orientation, service quality, and organization reputation as hypothesized.

Keywords: Customer orientation, Service quality, Organization reputation, Purchase intention

1. Introduction

Customer orientation is very important for service company. Jaideep [1] suggested that customer orientation refers to when company are very sensitive to customer needs. Company prone to develop new product to satisfied customer's demands. This behavior can make organization never out and always attracted to customers as well as enhance company to keep its leading position.

Therefore, the quality of services to serve customer plays a critical role in banking sector. Service business contribute to major source of income in various companies. High service quality allowed the organization to learn customers opinions and derive a good business solution [2]. Good service can help the company to retain original customer and win new customers while obtaining customer loyalty. This would enhance repeat purchase opportunity from customer and improve sale of enterprise which would promote organization reputation [3].

Organization reputation exist both online and offline. McCormick [4] suggested that good

organization reputation can lead company to have competitive advantages while indulge people to trust in organization. This would enhance opportunities for company to grow while improve human resource management and develop stronger partner and stakeholder. A good organization reputation would influence the purchase intention of customers [5].

In 2018, Global Bank Internationalization Report showed that the top four banks in China have overseas assets more than two trillion dollars. Chinese overseas assets scale has become the largest among developing country at the end of 2017 and exceeding the total GDP of Italy in same year [6]. The selected well-known bank for this study ranked first in the rankings, indicating that its capital strength has been greatly improved after the share reform, and it is in a leading position in the domestic industry [7]. Therefore, the aims of this study are to 1.) understand the importance of customer orientation and its effect on service quality; 2.) examine dimensions of service quality that impact on the organization reputation; 3.) study the role of organization reputation on purchase intention.

2. Literature Reviews

Kelley [8] was among the first researchers to introduce construct of customer orientation of service employees (COSE). He suggested that the customer orientation of a service firm's frontline employees is crucial for business success [9]. Brown et al. [10] defined COSE as an "individual's tendency or predisposition to meet customer needs in an on-the-job context". They conceptualize it as two-dimensional [11]; 1.) a needs dimension which covers the employee's belief that he or she can fulfill customers' wishes; 2.) an enjoyment dimension which represents the extent to which the employee enjoys interactions with customers.

Anosike and Eid [12] found that internal customer orientation caused internal service quality. As the characteristics of service is unique, the SERVQUAL model is introduced by Parasuraman in 1988 in order to learn the customer demands and to measure service quality in organization. Most service sector used SERVQUAL model to attractive more customer. It comprised of five aspects which are Tangible, Reliability, Responsiveness, Assurance, and Empathy [13]. In banking sector, Aldlaigan and Buttle [14] introduced a new measure of service quality in a bank developed from Gronroos model that focused on technical and functional service quality. The new developed scale is in four dimensions which are: 1.) service system quality; 2.) behavioral service quality; 3) machine service quality; 4.) service transactional accuracy.

Consistently, Rafaeli et al. [15] have collected the data from 166 employees who worked in a financial services provider in the northeastern United States by telephone call. The study result show that customer-oriented behavior has positive impact on service quality. Therefore, this

study proposed:

Hypothesis1: Customer orientation has positive impact on service quality.

Previous research suggested that organizational reputation is the overall attractiveness of an organization while others see it as an employer brand or a part of employer branding [16]. Abd-El-Salam et al. [17] studied the relationship between enterprise reputation, service quality, customer satisfaction and customer loyalty in one of the biggest companies in Egypt. The study found that there are positive relationships between organization reputation, service quality, customer satisfaction and customer loyalty. Enterprise reputation be regarded as an asset which make enterprise have chance differentiate itself. Similarly, Liat et al. [18] studied on the impact of service quality on corporate image of hotels customers in Malaysia. The findings reveal that perceived service quality has a direct positive relationship with corporate image. In addition, Atsan [19] also confirmed that the higher perceived service quality, the better corporate image will be in the banking sector. Therefore, this study proposed:

Hypothesis2: Service quality has positively impact on organization reputation.

Wang and Tsai [20] investigated the impact of mutual fund award on investor intention. The findings show significant relationships between brand image, perceived quality, perceived value, and purchase intention. There are positive and direct effects among brand image, perceived quality, perceived value, and purchase intention. Brand image indeed increases investors purchase intentions. Similarly, Pan et al. [21] employed five experimental designs to explore the seller reputation, product category and surcharge effects in Internet shopping. The findings suggested that sellers with high reputation can post higher surcharges to increase the total price paid by the buyers but sellers with low reputation cannot do so. Meanwhile, consumers take the longest time to make purchasing decisions when buying from sellers of low reputation.

In online context, Ziaulla et al. [22] studied on the impact of online retailers' reputation on purchase intentions and indicated that online retailers' reputation had significant effects on purchase intentions. Consistently, Kim and Lennon [23] examined how reputation and website quality impact on cognition and emotion, purchase intention. The results show that organization reputation and website quality decrease perceived risk and arise positive moods, finally leads to purchase intention. Therefore, this study proposed:

Hypothesis 3: Organization reputation positively impact on customers purchase intention.
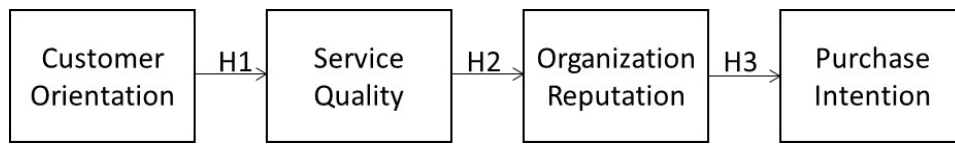
Figure 1: Research Framework

3. Research Methodology

3.1 Research Design and Sample

This study employed quantitative research design to study the impact of customer orientation, service quality, and organization reputation. A total of 340 questionnaires were distributed to customers of the selected well-known bank in China. The study found that 22 questionnaires are uncompleted. Therefore, this study found 318 valid questionnaires. Of those, 55% (176 person) are female and 45% (142 person) are male. 49% of respondents (156 respondents) are in the age 18 – 33 years old. 38% of respondents hold bachelor degree. 47 % of respondents (149 respondents) used the service of the selected well-known bank a few times a month to every week.

3.2 Measurement Items

All variables in this research are measured on 5-point Likert scale (1 for Strongly Disagree and 5 for Strongly Agree). For customer orientation, the 12 measurement items with 4 dimensions (pamper, read customer need, service deliver, and personal relationship) were adopted from Donavan and Hocutt [24]. **Pamper** dimension has three items. Example of item is "XXX is nurtures you". **Read customer's need** dimension has four items. Example of item is "XXX reads you to understand your needs". **Service deliver** dimension has three items. Example of item is "XXX delivers the intended service on time". **Personal relationship** dimension has 2 items. Example of item is "XXX knows you personally".

For service quality of banking, the 22 measurement items with five dimensions were adopted from Lassar et al. [25]. **Tangibility** dimension has four items. Example of item is "Modern looking equipment". **Reliability** dimension has four items. Example of item is "Keeping a promise to do something by a certain time". **Responsiveness** dimension has four items. Example of item is "Employees telling customers exactly what services will be performed". **Assurance** dimension has four items. Example of item is "the behavior of employees instilling confidence in their customers". **Empathy** dimension has five items. Example of item is "Giving customers individual attention".

For organization reputation, the 19 measurement items with six dimensions are adopted from Chun [26]. **Emotional appeal** dimension has three items. Example of item is "You have a good

feeling about the company". ***Product and services*** dimension have four items. Example of item is "XXX stands behind its products and services". ***Vision and leadership*** dimension have three items. Example of items is "XXX has excellent leadership". ***Workplace environment*** dimension has three items. Example of item is "Is well managed". ***Social and environmental responsibility*** dimension has three items. Example of item is "XXX supports good causes". ***Financial performance*** dimension has three items. Example of item is "XXX has a strong record of profitability". For purchase intention, the four measurement items are adapted from Bian and Forsythe [27]. Example of items is "If you were going to use banking service, you would consider going to this bank".

To determine the reliability of the variables, this paper applied Cronbach's Alpha to test the reliability reflecting consistency of the measurement items of each variable as shown in table1. All variables have Cronbach's Alpha value above .938 which shows that all the variables have high internal consistency. Meanwhile, average variance extracted value of all variables were above 0.5, confirming convergent validity [28]. The values of each composite reliability are also above 0.938.

Table 1: Validity and Reliability test

	Loadings	Cronbach's Alpha	Composite Reliability	Average Variance Extracted	Number of Items
Customer Oriented	>.725	0.969	0.969	0.724	12
Service Quality	>.797	0.983	0.983	0.729	22
Reputation	>.84	0.982	0.982	0.740	19
Purchase Intention	>.541	0.938	0.938	0.791	4

4. Results

The average mean value of customer orientation (M=3.45), Service Quality Five Dimensions (M=3.659), organization reputation (M=3.692) and purchase intention (M=3.665) are above 3.5 out of 5-point Likert scale. This reflect that the selected well-known bank of this study has a relatively high standard in managing employees which lead customer to have high willingness to make purchase decision. Service deliver dimension of customer orientation, tangibility dimension of service quality, Financial performance dimension of organization reputation were rate the highest among each variable.

The finding confirmed hypothesis 1 which stated that customer orientation has positive impact on service quality. The linear regression model is statistically significant at 95% confidence

level as p-value of the model is less than 0.05. A linear regression indicated that customer orientation could statistically significantly predict service quality, $F(1, 316) = 995.924$, p=.000, $\beta = 0.759$. Adjusted R-Square of the model is .758 Hence, customer orientation accounted for 75.8% of the explained variability in service quality.

The finding confirmed hypothesis 2 which stated that service quality has positive impact on organization reputation. The linear regression model is statistically significant at 95% confidence level as p-value of the model is less than 0.05. A linear regression indicated that service quality could statistically significantly predict organization reputation, $F(1, 316) = 2484.011$, p=.000, $\beta = 0.940$. Adjusted R-Square of the model is 0.887 Hence, service quality accounted for 88.7% of the explained variability in organization reputation.

The finding confirmed hypothesis 3 which stated that organization reputation have positive impact on purchase intention. The linear regression model is statistically significant at 95% confidence level as p-value of the model is less than 0.05. A linear regression indicated that organization reputation could statistically significantly predict purchase intention, $F(1, 316) = 1293.886$, p=.000, $\beta = 0.943$. Adjusted R-Square of the model is 0.803 Hence, organization reputation accounted for 80.3 % of the explained variability in purchase intention.

5. Discussions and Conclusions

The main purpose of this study was to explore the impact of customer orientation, service quality, and organization reputation. This study hypothesize that customer orientation leads to service quality while service quality leads to organization reputation as well as organization reputation lead to purchase intention. Our finding confirmed that customer orientation has a statistical significance impact on service quality ($F = 995.924$, P-value =.000, $\beta = 0.759$). The finding is consistent with Rafaeli et al. [29] that suggested that specific customer orientation behavior have relate to evaluation of service quality. Furthermore, this study found that service quality has a statistical significance impact on organization reputation ($F=2484.011$, P-value=.000, $\beta = 0.940$). The finding is aligned with Abd-El-Salam et al. [30] that found positive relationships between organization reputation, service quality, customer satisfaction and customer loyalty. They asserted that enterprise reputation is regarded as an asset which make enterprise have chance differentiate itself. This study also found that organization reputation also has a statistical significance impact on purchase intention ($F = 1293.886$, P-value = .000, $\beta =0.943$) which is similar to the finding of Wang and Tsai [31] that there are positive and direct effects among brand image, perceived quality, perceived value, and purchase intention. Brand image indeed increases investors purchase intentions.

This paper discusses the relationship existed between customer orientation (CO), service

quality (SQ), organization reputation (OR) and purchase intention (PI). The empirical result shows that a positive relationship existed among all variables. The selected well-known bank of this study should focus on customer orientation approach to improve service quality and meet customer expectation while maintaining good organization reputation, thus, improve purchase intention. This will raise the opportunity for the bank to discover the potential of employees and expand its business. By using the right system, the bank can achieve customers demands through developing new product or service and increase service quality so that it can improve organization reputation. Hence, the bank can attract more customer and increase purchase intention.

Based on the results of this study, it suggested that the bank should focus on customer orientation as part of the company work process plan so that it can improve service quality. In addition, Bastola et al. [32] assert that service quality is very important on other service sector such as hotel in improving customer revisit intention. Therefore, future research should explore on other service sector as well as applying the measurement items developed for that particular sector to be able to identify the performance better.

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The Effect of Mindfulness Leadership on Employees' Self-Spirituality: Case Study of Taiwan's Machinery Company

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Abstract

Taiwan is famous for her machinery in the world. However, the problem of low performance of employees in Taiwan's machinery company often confuses the management. The mindfulness leadership can enhance self-Spirituality due to various studies. This paper aims to examine the effect of mindfulness leadership on employees' self-spirituality, as well as mediation effect of psychological empowerment and organizational identification in Taiwan's machinery company. Data were collected by surveying valid 354 machinery company employees. This study analyzed data using structural equation modeling method. The result indicated that mindfulness leadership influenced employees' self-spirituality significantly through organizational identification, which facilitated to convey the uniqueness and attractiveness of their hardworking concerning personal performance. The key theoretical contribution is the use of essential measures based on critical sustainable factors of machinery company in a related field.

Keywords: Mindfulness Leadership; Organizational Identification; Psychological Empowerment; Self-Spirituality; Machinery Company

1. Introduction

The problem of low performance of employees in Taiwan's machinery company often confuses the management. As one of the traditional industries, machinery companies produce machines or equipment adopting careful design and high standard of manufacturing processes like R&D capability, precise materials, welding techniques, QC process…etc. However, in order to compete against the European, the U.S. and Japanese enterprises, the quality of their product requires high quality employees and good management system, which allow them to pursue excellence. In addition to the introduction of new manufacturing method and the purchase of advanced equipment, they dedicated to researching the improvement of the quality, function and life of products. Thus systematic management and tight teamwork drives them forward to sustainability.

Besides, psychological empowerment encourages the employees to perform their ability actively and the organizational identification facilitates the teamwork to be more consolidated.

These factors construct the whole competence of the machinery companies in the real world.

The objective of this paper is to verify the effect of mindfulness leadership on employees' self-spirituality in Taiwan's machinery company. Besides, this study investigates the mediation effect of psychological empowerment and organizational identification between mindfulness leadership on employees' self-spirituality in Taiwan's machinery company. This study will also outcast and explain the innate features of mindfulness leadership and proffer fields where suggestions are necessary.

2. Literature Review

2.1 Definition of mindfulness leadership

As for the mindfulness, Glomb, Duffy, Bono, and Yang [10] posited that mindfulness concerns with employee performance and well-being. These include response flexibility, decreased rumination, empathy, affect regulations, increased self-determination and persistence, improved working memory and more accurate affective forecasting. Brown and Ryan [4] indicated that higher levels of mindfulness have also been found to be associated with various positive psychological outcomes, such as lower levels of neuroticism, depression, and anxiety as well as higher levels of self-esteem, vitality, and authenticity [19]. Concerning the mindfulness leadership, the executive coaching practices can help managers to improve their skills and accordingly, they can change their behavior in a positive way [8] [16]. Thus, Howieson, Burnes and Summers [15] indicated that mindfulness leadership is based on sustainability value, as well as the benchmark learning [21], the harmony orientation [18], and human collaborative relationship [9].

2.2 Definition of self-spirituality

As for the self-spirituality, Zaidman [32] posited that the basic premises of self-spirituality culture were concerned with the authentic self and the emphasis on the individual's awareness of his or her body, thoughts, and feelings was, in fact, a manifesto of the legitimate sources of 'knowing' at work. That is, self-spirituality is perceived and practiced as a source of direction, meaning and empowerment for employees in the workplace, and it can assist women and men to cope with work challenges [2] [22] [33].

2.3 Definition of psychological empowerment

As for the psychological empowerment, Conger and Kanungo [6] argued that an effective leader empowers team members by ensuring they have the authority to implement policies and by supporting members' decisions. Thomas and Velthouse [30] demonstrated four major features of psychological empowerment. They are choice, competence, meaningfulness, and impact,

which formed the psychological empowerment, yet the impact of leadership on employees is not considered.

2.4 Definition of organizational identification

As for the organizational identification, Sethi [29] indicated that organizational identification motivates employees to establish meaningful relationships with customers as well as to find creative ways to solve problems [17]. Furthermore, organizational identification is the perception of oneness with or belongs to an organization [23], and among members is essential to the success of many organizations [27]. Therefore, organizational identification facilitates employees to identify their contributions on machinery company.

2.5 Relationship between mindfulness leadership and self-spirituality

Sauer and Kohls [28] indicated that mindfulness training may be uniquely positioned to provide leaders with a method useful to engage in continuous self-spirituality by providing them with a practical tool that aids them in gaining awareness and manage their own and others' emotions more effectively. While this is a developing research field, a variety of scholars have already laid out the potential of mindfulness training for leader development, suggesting it may impact leaders' information processing and decision-making. Thus, the following hypothesis is presented:

Hypothesis 1: Mindfulness leadership has a significant positive effect on self-spirituality in machinery companies

2.6 Relationship among mindfulness leadership, psychological empowerment and self-spirituality

As mindfulness leadership has a significant positive effect on self-spirituality, psychological empowerment, the psychological state or reinforce a range of requisites for effective employee functioning [7] [20], and self-determination positively influenced self-spirituality [24], which indicates psychological empowerment has a mediating effect on self-spirituality. Thus, the following hypothesis is presented:

Hypothesis 2: Psychological empowerment has a mediating effect on mindfulness leadership and self-spirituality in machinery companies

2.7 Relationship among mindfulness leadership, organizational identification and self-spirituality

As mindfulness leadership has a significant positive effect on self-spirituality [24], Pierce, Jussila, and Cummings [26] indicated that the organizational belonging and cohesiveness [11]

are both mediating factors in the relationship between self-spirituality and their performances; however, their model fails to consider the antecedent of self-spirituality, which demonstrates organizational identification has a mediating effect on self-spirituality. Thus, the following hypothesis is presented:

Hypothesis 3: Organizational identification has a mediating effect on mindfulness leadership and self-spirituality in machinery companies

3. Methodology

A 5-point Likert-type scale was used within questionnaires in mindfulness leadership (adapted from Lu and Lo [21]; Kozan [18]; Gao, Chen and Huai [9], psychological empowerment (adapted from Thomas and Velthouse [30]), organizational identification (adapted from Klimchak, Carsten, Morrell, & MacKenzie [17], and self-spirituality (adapted from Boyle & Healy [2]; Lychnell [22]; Zaidman Janson, & Keshet [33]), whereby 1 equated "strongly disagree" and 5 equated "strongly agree." The questionnaire was originally written in English and translated into Traditional Chinese by a professional translator and language editor in order to facilitate the ease of completion by the local respondents [31]. To further verify the accuracy of the translation, the blind translation-back-translation technique was used [3]. A rigorous test was conducted with 354 out of 400 purposively selected members of the machinery companies to check for clarity and grammatical issues in the survey. Only a few trivial phrasing issues were identified and then corrected. The structural equation model (SEM) is soundly applied to research in these decades [25].

3.1 Data analysis

Table 1 shows that respondents' profile and descriptive statistics. This study adopted purposive sampling from 77 factories in northern Taiwan. The majority of the test was represented by males (56.78%). The data appears almost 145 of the sampling respondents are married (40.96%). Besides, about 59.04% of the sampling respondents reported gaining a degree of college, whereas 25.14% stated that they gained a degree of graduate school. The largest service years of the sample was those between 11 and 15 years (20.62%), and the second group was between 6 and 10 years (18.93%). On the other hand, the sales department was the majority of the respondents' service department (18.64%).

Table 1. Descriptive statistics of respondents

Item	Category	Sample	Percentage(%)
Gender	Male	201	56.78
	Female	153	43.22
Marriage	Married	145	40.96
	Not married	209	59.04

Table 1. Descriptive statistics of respondents(cont.)

Item	Category	Sample	Percentage(%)
	High schools	56	15.82
Education	College	209	59.04
	Graduate schools	89	25.14
	Below 5 years	59	16.67
	Between 6 and 10 years	67	18.93
	Between 11 and 15 years	73	20.62
Service years	Between 16 and 20 years	61	17.23
	Between 21 and 25 years	47	13.28
	Above 26 years	47	13.28
	Engineering Department	53	14.97
	General Affairs Department	50	14.12
Service	Sales Department	66	18.64
department	Purchasing Department	59	16.67
	QA Department	64	18.08
	Logistic Department	62	17.51

3.2 Confirmatory Factor Analysis

The principal components analysis (PCA) reveals that all factor loading are at least above .552. Furthermore, the KMO of mindfulness leadership is .946 and χ^2 Bartltett's Sphericity Test is 3945.769***, p<.001; the KMO of psychological empowerment is .831 and χ^2 Bartltett's Sphericity Test is 3417.473***, p<.001; the KMO of organizational identification is .843 and χ^2 Bartltett's Sphericity Test is 2114.859***, p<.001 and the KMO of self-spirituality is .917 and χ^2 Bartltett's Sphericity Test is 4652.273***, p<.001. Thus, the items of the scale are applicable for this study.

Table 2. Confirmatory Factor Analysis using principal components analysis

Scale	Dimension	Question items	Factor loading	Eigenvalue	Accm. Percentage(%)
		A1	.709		
		A2	.838		
	Benchmark	A3	.754	3.849	27.495
	Learning	A4	.654		
		A5	.712		
		A6	.664		
ML		A7	.620		
	Harmony	A8	.769	3.601	53.215
	Orientation	A9	.798		
		A10	.801		
		A11	.667		
	Collaborative	A12	.713	2.934	74.171
	Relationship	A13	.738		
		A14	.747		

Table 2. Principal components analysis(cont.)

Scale	Dimension	Question items	Factor loading	Eigenvalue	Accm. Percentage(%)
PE	Self-Competence	B1	.772	3.469	24.779
		B2	.753		
		B3	.888		
		B4	.854		
		B5	.810		
		B6	.785		
	Self-determination	B7	.791	3.314	48.451
		B8	.813		
		B9	.798		
		B10	.772		
		B11	.854		
	Impact	B12	.886	3.287	71.932
		B13	.891		
		B14	.843		
OI	Organizational belonging	C1	.880	3.931	39.31
		C2	.929		
		C3	.799		
		C4	.896		
		C5	.887		
		C6	.552		
	Cohesiveness	C7	.808	2.891	68.215
		C8	.856		
		C9	.764		
		C10	.776		
SS	Individual's awareness	D1	.664	4.357	27.233
		D2	.723		
		D3	.785		
		D4	.827		
		D5	.857		
		D6	.798		
		D7	.659		
	Authentic self	D8	.796	3.97	52.043
		D9	.875		
		D10	.822		
		D11	.805		
		D12	.745		
	Legitimate sources	D13	.852	3.567	74.335
		D14	.803		
		D15	.820		
		D16	.803		

The average variance extracted (AVE) squared values of mindfulness leadership, psychological empowerment, organizational identification and self-spirituality are .655, .537, .368 and .712, respectively, and except for organizational identification, are close to the recommended benchmark of .5 [12]. The goodness of fit indicates that the model is appropriate for further

testing and indicators that the GFI is .904, the AGFI is .833, the PGI is .52, the BCC is 244.366 and the BIC is 350.736. Though just fared, the convergent validity demonstrated acceptable given the confirmatory nature of this study. Besides, the correlation coefficients of these dimensions are significantly related as shown in Table 3.

Table 3. Correlation Analysis Table

Construct	Mean	SD	1	2	3	4
ML	3.385	.879	(.95)[a]			
PE	3.679	.613	.637***	(.85)		
OI	3.145	.591	.279***	.255***	(.779)	
SS	4.208	.631	.623***	.664***	.281***	(.925)
Remarks: ()[a] represents the Cronbach's α						

3.3 The direct and indirect effect of independent variables

This study examines the significant positive effect of the mindfulness leadership on the self-spirituality in machinery companies, as well as the mediating effects of the psychological empowerment, and the organizational identification between the relationship of mindfulness leadership and self-spirituality using the process analysis, which is widely proved its validity [13] [14].

After rigorous test, Table 4 demonstrates that the psychological empowerment has mediating effect between the relationship of mindfulness leadership and self-spirituality. Besides, Table 5 indicates that the organizational identification has mediating effect between the relationship of mindfulness leadership and self-spirituality. Then, hypothesis 1 is supported as mindfulness leadership'sβ=.336***, *p*<.001 and psychological empowerment's β=.45***, *p*<.001; hypothesis 2 and 3 are supported as the total effect of mindfulness leadership on the self-spirituality mediated by the psychological empowerment and the organizational identification with effect coefficient equals to .447***, *p*<.001.

Table 4. Analysis of mediating effect of psychological empowerment

Item	Effect	*se*	*t*	*p*	LLCI	ULCI
Total effect	.447	.030	14.925	.000	.388	.506
Direct effect	.241	.035	6.922	.000	.173	.310
Indirect effect of PE	.206	.033			.145	.275

Table 5. Analysis of mediating effect of organizational identification

Item	Effect	*se*	*t*	*p*	LLCI	ULCI
Total effect	.447	.030	14.925	.000	.388	.506
Direct effect	.424	.031	13.704	.000	.363	.484
Indirect effect of PE	.023	.010			.006	.044
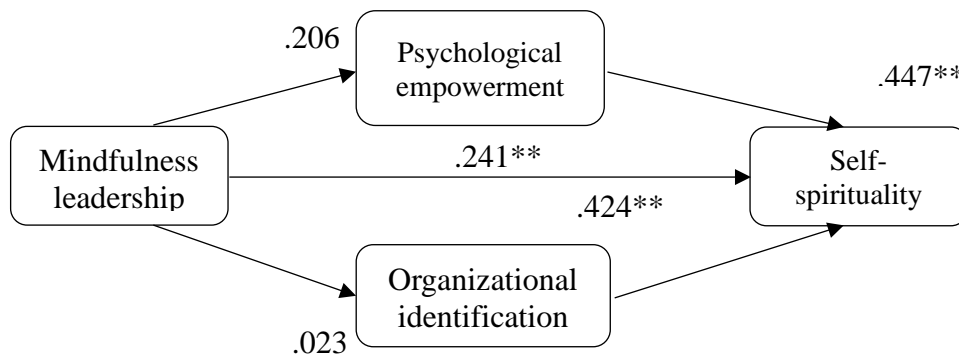
Figure 1. Figure of the research framework

4. Conclusions

The problem of low performance of employees in Taiwan's machinery company might not confuse the management. This study verifies that mindfulness leadership has positive effect significantly on employees' self-spirituality, which encourages the management takes the more incentives increasing employee's performance efficiently, might prevent the problem of low efficiency.

Besides, this study examines the mediating effect of psychological empowerment and organizational identification between mindfulness leadership's effect on employees' self-spirituality in Taiwan's machinery company concurrently. This study approves that the confidence of employees to perform well affected by the positive roles of psychological empowerment and organizational identification in the production scenarios. The lacking of sufficient valid samples and the limitation of the field are the deficiency of this study. The expansion to other industries or population are recommended for those studies that interest in this field in the future.

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No Fear Investment：
A Study on Collar Strategy

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Abstract

Financial markets play a vital role in facilitating the smooth operation of economies by allocating resources and creating liquidity for businesses and entrepreneurs. The markets make it easy for buyers and sellers to trade their financial holdings. Financial markets create securities products that provide a return for those who have excess funds (Investors) and make these funds available to those who need additional money (borrowers).

Financial markets are made by buying and selling numerous types of financial instruments including equities, bonds, currencies, and derivatives.

The stock market is one type of financial market that attracts many individual investors in addition to financial institutes. But individual investors can hardly get consistent returns from the market. Some individual investors will sell the stock when it goes down certain amount or percentage to CUT LOSS as told by the market guru or as read in books.

Investors can actually hedge against their stocks like buying "insurance", just like they may have done on their house, car and other valuable personal properties. Furthermore, they can even have someone else pay for part of "insurance premium".

Read my **L.I.P.S.** that stand for **L**everage, **I**ncome and **P**rotection **S**ynergy. I will show you a way to invest for potentially good return with low risk.

We will introduce a trading system based on a conservative stock option strategy called Collar, which contains three instruments or legs: long stock, long put and short call. [5] While traditional collar changes little when the stock moves, investors can potentially generate much better return by actively managing the positions following our system.

Call (Put) Option – In finance, an option is a contract which gives the buyer the right to buy or sell an underlying asset or security at a specified strike price prior to or on a specified date, depending on the form of the option. The seller has the corresponding obligation to fulfill the transaction – to sell or buy – if the buyer exercises the option. An option that conveys to the owner the right to buy at a specific price is referred to as a CALL; an option that conveys the right of the owner to sell at a specific price is referred to as a PUT. Both are commonly traded. One (1) contract of option normally controls one hundred (100) shares of underlying security in US market. The expiration date for listed monthly stock option in the US market is normally the third Friday of the contract month or the month that the contract expires. On months that the Friday falls on a market holiday, the expiration date is on the Thursday immediately before

the third Friday.

Volatility – Volatility can be simply defined as a statistical measure of the dispersion of returns for a given stock. It represents average daily high and low percentage range. In the security markets, volatility is often associated with big swings in either direction. When our position has options, we must consider volatility in addition to the potential directional move. High volatility results in high option price.

Delta – Delta represents the rate of change between the price of an option or combined stock-option position and the underlying security, in other words, the price sensitivity of the option or combined position relative to the underlying.

Delta of a call option has a range between zero and one, while the delta of a put option has a range between zero and negative one. For options traders, delta also represents the hedge ratio for creating a controlled delta position.

Another usage of an option's delta is its current probability that it will expire in-the-money. For instance, a 0.40 delta call option today has an implied 40% probability of finishing in-the-money.

Keywords: Call Option, Put Option, Volatility, Delta

1. Introduction

There are three main practices on financial market: [1]

1) Most financial planners apply asset allocation between stocks and bonds. They believe that stocks can yield better return with more risk while bonds are safer with less return. Stock and bond tend to move in different direction. Portfolio for their younger customers will contain more stocks less bonds in value. As result, the portfolio may just beat the inflation;

2) Some long-term investors who buy the stock because they like the products or service of the company. They will hold the stock without checking the price for a long time. The only income is dividends if there are some if they do not sell their stocks.

3) Some short-term investors, or traders, believe they can time the market. They hit and miss while try to buy low and sell high. Emotions like HOPE, GREED and FEAR are always in the way to prevent them from real success; [3]

For people who have been working all their life and have accumulated some wealth for retirement, the L.I.P.S. implementation can potentially help them to become self-guided investors and live on the return or income of their investment. They will never worry about exhausting their savings in their life.

2. Choose the stock

If you want to use one symbol to represent general US stock market, it has to be SPY. The S&P 500 is arguably the most important market measure used by investors and traders around the world — as it's the benchmark for trillions in dollars of investment. SPY, the SPDR S&P 500 trust, is an ETF, exchange-traded fund, which trades on the NYSE. It is designed to track the S&P 500 stock market index. This fund is the largest ETF in the world. The value of one share of the ETF is worth approximately 1/10 of the cash S&P 500's current level.

There are many ways to choose a bullish stock. To better demonstrate our trading system, we have chosen Alibaba Group Holding Limited (stock symbol: BABA) for the time period starting the 4th week of April, 2019. The reasons are:

1) We can show how our bullish position weather the downturn swing; (Figure 1)
2) BABA has high volatility, about 4 times of that of SPY or general US market benchmark;

Figure 1 BABA Stock Chart
Source: Ameritrade (2018). BABA Stock Chart. Retrieved from
https://www.tdameritrade.com/home.page

2.1 Trading Plan

"Plan the trade, trade the plan." [2] Successful investors set up proven trading rules, and follow the rules with discipline:

Pick a stock: Pick a bullish stock with the volatility at least twice higher than SPY's;

Open position: Long stocks. Long next month corresponding ATM put contracts and short next month same amount of OTM call contracts with 25-30% Delta at the same time;

Position adjustment: If stock goes down more than one major strike price, the existing put will be ITM, roll down the put option when the stock starts to go up by selling the existing put and buy the new ATM put option. Roll the put to the next month if there are less than 14 days left before the expiration;

Continuation: Short next month OTM call with 25-30% Delta when the old call has expired worthless; Long next month ATM put when the old put has expired;

Exit 1: Stock goes up well beyond the strike price of short call before the expiration. The combined delta is close to zero. Close the position to realize near full potential gain;

Exit 2: Stock goes up beyond the call strike price at the option expiration date. Stocks are called away at the short call strike price. Sell the put if it has not expired. Position is closed;

Figure 2 BABA Option Chain
Source: Ameritrade (2018). BABA Option Chain. Retrieved from
https://www.tdameritrade.com/home.page

2.2 Trading Analysis

We open the position by long 100 shares of BABA for $18538 plus commission, long one May 2019 $185 strike price put and short one May 2019 $195 strike price call for $326.50 plus commission on April 22, 2019. (Figure 2)

The position was closed with $2890.79 profit on November 15, 2019.

All trading executions are listed in table 1 below.

Trade 1: Open the position with 100 shares of BABA on April 22.

Cost: -$18546.00

Trade 2: Open a combo set of long May 185 put and short May 195 call on April 22.

> **Cost: -$328.50**

Trade 3 (Adjustment): BABA went down and bounced from $170 back to $174.83 on May 14. Roll May 185 put down to June 175 put.

> **Profit $370.50**

Trade 4 (Replacement): Short June 175 call after May call had expired worthless on May 20.

> **Income $146.01**

Trade 5 (Adjustment): BABA went down and bounced from $160.65 back to $163.43 on May 21. Roll June 175 put down to June 162.5 put.

> **Profit $770.50**

Trade 6 (Adjustment): BABA went down and bounced from $149.26 back to $149.91 on June 3. Roll June 162.5 put down to July 150 put.

> **Profit $573.00**

Trade 7 (Replacement): Short July 180 after June call had expired worthless on June 24.

> **Income $196.06**

Trade 8 (Replacement): Open replacement combo set of long Aug. 170 put and short Aug. 180 call when old options have expired on July 22.

> **Cost: -$58.00**

Trade 9 (Adjustment): BABA went up then down, bounced from $153.67 back to $157.43 on Aug. 6. Roll Aug. 170 put down to Sept. 155 put.

> **Profit $675.50**

Trade 10 (Replacement): Short Sept. 185 call after August call had expired worthless on August 19.

> **Income $349.00**

Trade 11 (Replacement): Open replacement combo set of long Oct. 175 put and short Oct. 185 call when old options have expired on September 23.

> **Cost: -$212.50**

Trade 12 (Adjustment): BABA went up then bounced from $165.15 to $165.77 on September 30. Roll Oct. 175 put down to October 165 put.

> **Profit $565.50**

Trade 13 (Replacement): Open new combo set of long Nov. 170 put and short Nov. 185 call when old options have expired on October 21.

> **Cost: -$102.28**

Trade 14 (Exit): BABA closed at 185.49 on November 15. It is higher than the short call strike price: $185. Call option would be executed. BABA stocks will be called away at $185 per share. Put option had expired. The position is closed.

Table 1 – Trading Execution

Trade	Stock / Spread	Side	Qty	Exp	Strike ($)	Type	Date	Amount Unit ($)	Commission ($)	Amount ($)
1	BABA	Buy	100			STOCK	22-Apr-19	-185.38	-8	-18546.00
2	COMBO	SELL	-1	17-May-19	195.0	CALL	22-Apr-19	-326.50	-2	-328.50
		BUY	1	17-May-19	185.0	PUT				
3	Diagonal	SELL	-1	17-May-19	185.0	PUT	14-May-19	372.50	-2	370.50
		BUY	1	21-Jun-19	175.0	PUT				
4	Single	SELL	-1	21-Jun-19	175.0	CALL	20-May-19	147.01	-1	146.01
5	Vertical	Buy	1	21-Jun-19	162.5	PUT	21-May-19	772.50	-2	770.50
		SELL	-1	21-Jun-19	175.0	PUT				
6	Diagonal	Buy	1	19-Jul-19	150.0	PUT	3-Jun-19	575.00	-2	573.00
		SELL	-1	21-Jun-19	162.5	PUT				
7	Single	SELL	-1	19-Jul-19	180.0	CALL	24-Jun-19	197.06	-1	196.06
8	COMBO	SELL	-1	16-Aug-19	180.0	CALL	22-Jul-19	-56.00	-2	-58.00
		Buy	1	16-Aug-19	170.0	PUT				
9	Diagonal	Buy	1	20-Sep-19	155.0	PUT	6-Aug-19	677.50	-2	675.50
		SELL	-1	16-Aug-19	170.0	PUT				
10	Single	SELL	-1	20-Sep-19	185.0	CALL	19-Aug-19	350.00	-1	349.00
11	COMBO	SELL	-1	18-Oct-19	185.0	CALL	23-Sep-19	-210.50	-2	-212.50
		Buy	1	18-Oct-19	175.0	PUT				
12	Vertical	Buy	1	18-Oct-19	165.0	PUT	30-Sep-19	567.50	-2	565.50
		SELL	-1	18-Oct-19	175.0	PUT				
13	COMBO	SELL	-1	18-Oct-19	185.0	CALL	21-Oct-19	-100.28	-2	-102.28
		Buy	1	18-Oct-19	170.0	PUT				
14		SHORT CALL EXECUTED	100		185.0	STOCK	15-Nov-19	185.00	-8	18492.00
Profit ($)										**2890.79**
Time (month)										**7**
Profit (%)										**15.6%**
Annualized Return (%)										**26.7%**
BABA position was purchased on April 22, 2019 at $185.38 together with a combo set of long-put and short-call; BABA closed at $185.49 on Friday Nov. 15, 2019. The stock position was closed when the 185 SHORT CALL is executed.										

Source: Ameritrade (2018). Trading Execution Retrieved from https://www.tdameritrade.com/home.page

We gain $2890.79 in the BABA trade, 15.6% in 7 months or **26.7%** annualized return.

Collar is a bullish strategy. we manage to get a nice return during a twenty plus percent downward swing. Let's see how it happened:

BABA Stock: Trade 1 and 14 -

    Cost - $18546

    Sold - $18492

    Lost = 18492-18546 = **-$54**

Cost of Combo: Trade 2, 8, 11 and 13 -

-328.5-58-212.5-102.28 = **-$701.28**

Rolling Down Put: Trade 3, 5, 6, 9 and 12

Profit = 370.50+770.5+573+675.5+565.5 = **$2955**

Short Call: Trade 4, 7 and 10

Income = 146.01+196.06+349 = **$691.07**

Final Result:

Profit = -54-701.28+2955+691.07 = **$2890.79**

Short calls give us guaranteed income, which almost covers the cost of combos.

The real profit is from the put rolling due to the market condition.

3. Conclusion

We executed our trading plan without greed, fear or any other emotional reaction in the test. The position is well controlled throughout the whole time. BABA had a 20 plus percent downward swing. We manage to get profit from the swing instead of cutting loss.

Investors can systematically trade the market without fear when they adapt the right strategy for the right stock. Traditional Collar is a very safe "Low risk, low return" strategy. [4] It is not widely used due to the lack of profit potential. By actively managing the trade, we are able to get good return with low risk.

Collar is a three-leg strategy: long stock, long put and short call. When the stock goes up, the total position will be closed with nice profit in just one or two months; When the stock goes down, the loss on stock is not realized. But short call provides guaranteed income and long put will be profitable if the stock falls fast enough. Loss or profit on stock solely depends on the strike price of short call that is set by us, the investors. It will take longer time to close the trade if the short call is further OTM. We choose the call that has 25-30% Delta.

Let us analyze in the term of Delta. When we first open the position:

1) Delta of Long stock is 1;

2) Delta of ATM long put is close to -0.5, give me 50% hedge ratio to start with;

3) Delta of OTM short call is around -0.25. The short call brings us immediate income with an obligation to sell the stock at the higher price; Short call has negative delta. It brings us income no matter how the stock moves.

The combined Delta is positive, so it is a bullish position. We can close the position sooner with profit when stock goes up beyond the short call strike price.

When stock goes down, long put hedges against stock, while short call brings in monthly income until the stock called away.

There is not one single strategy that works in all market. Collar works best when the stock goes up. It also works when the stock moves dramatically, even to the wrong direction sometimes. We choose BABA due to the high volatility. High volatile stock tends to move more and faster. The Collar with our setting is not suitable for stagnant or steady downward market.

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The impact of perceived organizational justice on perceived organizational support and employee commitment: a case study of road transportation companies in China

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Abstract

The purpose of this paper is to examine the role perceived organizational justice and perceived organizational support on employee commitment. This study collected the data from 289 employees of road transportation companies in China. The present study employs a questionnaire survey approach to collect data for testing the research hypotheses. The results indicate that perceived organizational justice and perceived organizational support have positive and significant effects on employee commitment. The main contribution of the paper is to provide empirical evidence to support the role of organizational justice in organization.

Keywords: Perceived organizational justice, Perceived organizational support, Employee commitment

1. Introduction

Employee protest in public is the phenomenon that company have been attempt to avoid as it would lead to company crisis. The incident occurred on October 2015 when protesters sit-in protest beneath Samsung's headquarters in Seoul due to Samsung caused its workers to fell ill and nearly 80 employees died [1]. Dissatisfied workers are prone to cause turnover and absenteeism. Understanding job satisfaction thus could improve employee performance, organizational productivity and other issues, including labor turnover [2]. In addition, organizational commitment is also importance as it is a positive emotional experience, which is reflected in employees' recognition and trust in the organization.

The number of passengers of road transportation in China fell 4.9 percent in 2019 compared with the same period last year [3] as other modes of transportation are able to serve customers better. About 3.8 million people are employed in the road transportation industry, which has seen a sharp decline in the past two years [4]. The change of the overall environment, the company's transformation and layoff could lead employees to form invisible conflicts with the company, which is more or less inevitable to complain. The company should seek to handle the situation on their current employees. Therefore, this study aims to 1.) study the impact of

perceived organizational justice (i.e., procedural justice, distributive justice, interactional justice) on perceived organization support; 2.) investigate the influence of perceived organizational support on employee commitment; 3.) identify the level of perceived organizational justice (i.e., procedural justice, distributive justice, interactional justice), perceived organizational support, and employee commitment in the organization.

2. Literature Reviews

According to Hirschman's exit-voice Theory [5], it suggested that if employees realize that the organization has poor performance, they basically respond in two ways: (1) exit and (2) voice. Exit would only provide a warning sign of enterprise downturn. Meanwhile, voice can provide much more information about the causes of decline. Based on social exchange theory, when employees believe that the strategic decision-making process has been done with the principle of fairness to restrain certain procedure and supervision, they will feel that the decision-making process is being treated fairly. In return for the company's fair treatment, employees translate this perception of fairness into a reciprocal obligation, in which employees assume that they too should do their part [6].

According to Colquitt et. al [7], the type of justice includes procedural justice, distributive justice, and interactional justice. Meanwhile, Moorman et. al [8] found that procedural justice is an antecedent to perceived organizational support. Rhoades & Eisenberger [9] refer that perceived organizational support (POS) is valuation of employees' contribution and care about employees' well-being. If employees feel that organization did not concern their contributions and benefits, employees' awareness of organizational responsibility will be correspondingly reduced. Therefore, this study proposed

Hypothesis 1: Perceived organizational justice (i.e., procedural justice, distributive justice, interactional justice) has positive impact on perceived organizational support.

Meyer et. al [10] asserted that there are three types of commitment: 1.) Affective refers to the identification with, and involvement with the organization; 2.) Continuance refers to an awareness of the costs associated with leaving the organization; 3.) Normative reflects a feeling of obligation to continue employment. Baranik et al. [11] explored the role and approach of work mentoring and found that employee commitment can be boosted through an increase in perceived organizational support [11]. Therefore, this study proposed

Hypotheses 2: Perceived organizational support has positive impact on employee commitment.

Bakhshi et. al [12] suggested that if the employees perceived both distributive justice and

procedural justice to be high, they would be motivated to continue their association with their current institutions and would show higher job satisfaction level. Therefore, this study proposed

Hypothesis 3: Perceived organizational justice has positive relationship with employee commitment.
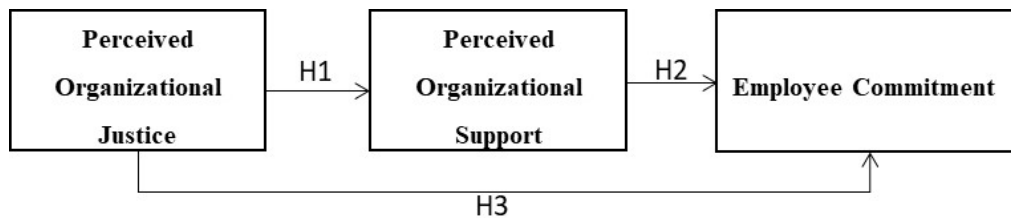
Figure1 Research Framework

3. Methodology

A total of 300 questionnaires were distributed online to employee of two road commute service companies in China. The questions include demographic information such as gender, age, job position, working experience. The questions also include measurement items of related variables which are procedural justice, distributive justice, perceived organizational support, and employee commitment.

3.1 Sample

A total of 289 respondents are included in the analysis. Of those, 40.5% (117) of respondents are male and 59.5% (172) are female. Most of respondents (52.6%, 152) are in the age of more than 42 years old. For education, 64.01% (185) of respondents obtained high school diploma. For job position, 61.59% (178) of respondents are entry level. For working experience at the company, 30.1% (87) of respondents have more than 20 years of working experience. Only 9.69% (28) have 11-20 years of working experience. For department, 46.71% (135) of respondents are administration department.

3.2 Data collection and procedure

All measurement items are in 5-point Likert scale (1 for Strongly Disagree and 5 for strongly Agree. For ***perceived organizational support***, the construct was measured by a shorter (6-item) version of the scale developed by Eisenberger et al. [13]. Example of item is "The organization values my contribution to its well-being". For ***employee commitment***, the 8-item affective commitment scale developed by Allen et. al [14]. Example of item is "I would be very happy to spend the rest of my career in this organization".

For ***organization justice***, it was measured in three dimensions. For ***Procedural Justice***, the 6

measurement items were developed from Niehoff et. al [15]. Example of item is "Job decisions are made by the general manager is an unbiased manner". For ***Distributive Justice***, the 5 measurement items were developed from Niehoff et. al [15]. Example of item is "My work schedule is fair". For ***Interactional Justice***, the 9 measurement items were developed from Niehoff et. al [15]. It includes "When decisions are made about my job, the general manager treats me with kindness and consideration".

Table 1 Validity and Reliability

	Loadings	Cronbach's Alpha	Composite Reliability	Average Variance Extracted	Number of Items
Organization Justice perceived	>0.778	0.979	0.990	0.838	19
Organizational Support	>0.972	0.898	0.975	0.867	6
Employee Commitment	>0.788	0.886	0.954	0.721	8

The study found that perceived organizational justice, perceived organizational support and commitment have convergent validity and reliability. The average variances extracted (AVEs) for Organization Justice (0.838), Organizational Support (0.867), and Employee Commitment (0.721) were above 0.5, confirming convergent validity [16]. In addition, the composite reliability and Cronbach's alpha of variables exceeded 0.7, showing internal consistency for reliability. The loadings of all measurement items for each construct were above 0.5.

4. Findings

Hypothesis 1 which stated that perceived organizational justice (i.e., procedural justice, distributive justice, interactional justice) has positive impact on perceived organizational support is supported. The linear regression model is statistically significant at 95% confidence level as p-value of the model is less than 0.05. A linear regression indicated that perceived organizational justice (β=1.010) could statistically significantly predict perceived organizational support, $F(1,287)$ =1408.202, p=0.00. Adjusted R-Square of the model is 0.83. Hence, perceived organizational justice accounted for 83% of the explained variability in perceived organizational support.

Hypothesis 2 which stated that perceived organizational support has positive impact on employee commitment is supported. The linear regression model is statistically significant at 95% confidence level as p-value of the model is less than 0.05. A linear regression indicated

that perceived organizational support (β=0.663) could statistically significantly predict employee commitment, $F_{(1,287)}$ =453.752, p=0.000. Adjusted R-Square of the model is 0.611. Hence, perceived organizational support accounted for 61.1% of the explained variability in employee commitment.

Hypothesis 3 which stated that perceived organizational justice has positive relationship with employee commitment is supported. The linear regression model is statistically significant at 95% confidence level as p-value of the model is less than 0.05. A linear regression indicated that perceived organizational justice (β=0.735) could statistically significantly predict employee commitment, $F_{(1,287)}$ =451.809 p= 0.000. Adjusted R-Square of the model is 0.61. Hence, perceived organizational justice accounted for 61% of the explained variability in employee commitment.

5. Discussions and Conclusions

This study confirmed hypotheses 1 which stated that perceived organizational justice (i.e., procedural justice, distributive justice, interactional justice) has positive impact on perceived organizational support. Our finding is consistent with Moorman et. al [8] that found procedural justice will be positively related to perceived organizational support. Loi et. al [17] also found that procedural and distributive justice contributed to the development of perceived organizational support. Tekleab et. al [18] provided initial evidence supporting a proposed integration of perceived organizational support and psychological contract theory. Snyder et. al [19] suggested that supervisors may also assist in increasing procedural justice perceptions by focusing on fairness of procedures, such as consistent application of processes and providing opportunities for voice.

This study confirmed hypotheses 2 which stated that perceived organizational support has positive impact on employee commitment. Eisenberger et. al [13] argument is consistent with our findings that perceived organizational support is assumed to increase the employee's affective attachment to the organization and his or her expectancy that greater effort toward meeting organizational goals will be rewarded. Similarly, Shore et. al [20] asserted that employees who perceived high levels of organizational support were more likely to engage in supervisory awareness behavior. In other words, doing favors for the supervisor may be less of an attempt to impress the supervisor than a consequence of having positive feelings about the organization, Aube et. al [21] argued that perceived organizational support is positively and significantly correlated with affective and normative commitment. Similarly, Baranik et. al [22] argued that perceived organizational support partly mediated the relationship between specific types of mentoring support and job satisfaction and affective organizational commitment.

This study confirmed hypotheses 3 which stated that perceived organizational justice has positive relationship with employee commitment. This is aligned with Whitener [23] that found employees' trust and commitment to be stronger when they perceive that the organization is committed to and supportive of them. Similar to Eisenberger et. al [24] argument that perceived support would be expected to be positively related both to expressed affective attachment and performance-reward expectancies, resulting in a moderate positive correlation between these two types of commitment. Rhoades et. al [25] provided convergent evidence that perceived organizational support plays an important role in the commitment process, helping to explain how basic work experiences influence affective commitment and ultimately, employee withdrawal behavior. Bernerth et. al [26] suggested that interactional justice interacted with both procedural and distributive justice. Bakhshi et. al [12] argument that both distributive justice and procedural justice were found to be significantly related to organization commitment.

This paper set out to look at the relationship between perceived organizational justice, perceived organizational support and employee commitment. In addition, the study was designed to explore those three how to affect each other, and how to improve the performance of the enterprise. This study confirmed that perceive organizational justice and organizational support is very importance in the organization as Huang et. al [27] suggested that organizational justice has strong impact on employee performance. Therefore, the company should improve the perceived organizational justice and perceived organizational support of their employee to advance overall company performance. This study also found that perceived organizational justice (β=0.735) has stronger impact on employee commitment than perceived organizational support (β=0.663). Hence, the company should ensure that the policy and communication within the company are implemented properly to avoid the conflict or misunderstanding in the organization. The human resource development program should be constructively analyzed before implementation.

6. Limitation

This study has some limitations. The first limitation is the number of responses obtained from the survey was rather small. A larger number of responses would probably yield a more accurate finding. In addition, since this study only investigates two companies, hence the findings and conclusions drawn from this research are representative of the two company employees, and the findings may not generalize to other geographic regions, industries or cultures.

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Exploring the Relationship between Positive Leadership, Organizational Climate and Deviance Innovation－ The Mediating Role of psychological contract

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Abstract

In today's with the rise of innovation and entrepreneurship, more young people choose the path of entrepreneurship. To make early-stage companies more profitable, they must strengthen internal innovation. But when the employee's idea is rejected by the boss, Employees will generate Creative Deviance, Creative Deviance bring new benefits to the business, Is an abnormal behavior that is good for the business, How to guide employees' deviance Creative Deviance is important. This article through the collation of related literature, Building a research framework. Research based on questionnaire. Expected research results, Organizational Climate in for Intermediary effect on Active Positive Leadership and Creative Deviance, Active Positive Leadership positive influence Organizational Climate and Creative Deviance, Organizational Climate positive influence Creative Deviance, Psychological contract by Regulatory effect in Organizational Climate and Creative Deviance.

Keywords: Positive Leadership; Organizational Climate; Creative Deviance; Psychological Contract

1. Introduction

In the entrepreneurial boom. Especially the rapid development of artificial intelligence and big data. Created many new job vacancies, Speed up talent flow, Rapid growth in investment in second- and third-tier cities, New products account for most of the company's profits. For entrepreneurs in backward cities, Venture pressure is lower than in developed cities. So the new entrepreneurs, they have enlightened, harmonious, positive of Leadership style [1]. This is a Positive Leadership. The Positive Leadership and some related qualities，Can help companies form a good organizational atmosphere in the entrepreneurial process，To protect the stability of the business。

Ran, Hu and Ran [2] backward cities have bigger markets, Better business model and Initiative. The organization is constrained by internal conditions (such as resources) and changes in the external environment (such as market changes) [3] , Some innovation projects proposed by employees were not accepted by the organization, When organization members are unable to

achieve innovation goals at the organization level, May engage in innovative activities without formal recognition by the organization, Arise Creative Deviance. Most such innovations will bring extra profits to the company, How to build a positive leadership organization Climate. For early-stage companies, it is more important to enhance employee off-track innovation while generating Innovative products. In terms of existing research，Related empirical studies are still scarce for Creative Deviance. Hope that future research will be further confirmed by empirical evidence. The motivation for this research was based on the development of second- and third-tier cities. Explore the role of the intermediary of organizational atmosphere, Impact Mechanism of Positive Leadership on Creative Deviance. And try to moderate the influence of Organizational Climate on Creative Deviance with psychological contract. It is hoped that this research will give some suggestions for early management in the future, And further enrich the research data in related fields.

Based on the above research background and motivation, this study summarizes the following research questions:(1) Does Positive Leadership affect the Organizational Climate? (2) How does Positive Leadership affect the Creative Deviance? (3) How does Organizational Climate affect the Creative Deviance? (4) Does Psychological Contract play an intermediary role between Organizational Climate and Creative Deviance? (5) Can Psychological Contracts Regulate Organizational Climate and Creative Deviance?

2. Literature research and hypothesis development

2.1 Positive Leadership and Organizational Climate

Positive leadership as the main guide within the organization, focusing on the strengths, potentials, ethical standards of the members of the organization, and promoting the motivation of the members of the organization, achieving positive performance [4]，Owens and Cameron [5] in his follow-up studies, he believes that positive leadership is more influential. Psychological factors such as caring, supporting, and empathizing with employees, positively leading the positive feelings of members of the organization, stimulating the personal characteristics and potential of employees, and beautiful forces will make them concerned with the organization, thereby bringing performance to the organization.

Existing studies have shown that Positive Leadership can drive Organizational Innovation and Speech Behavior, but lack of research on Organizational Climate as a whole. This article takes the Organizational Climate as a whole, according to McDougall [6] Emotional infection theory, "Based on the most primitive sympathetic response, a law of direct emotion induction." Falkenberg, Falkenberg , Bartels and Wild [7] Studies have shown that emotional infection is a process of emotional continuation. This process is caused by the emotional infection of the other party, and there will be corresponding emotional cycles.

Leadership theory studies leadership effectiveness, which is an important part of the field of organizational behavior research. The effectiveness of leadership depends on the relationship between the leader, the ledee and the environment. Rapp and Ruddy [8] think the Leadership is the ability of a leader to influence a group to achieve its goals. Zhang and Long [9] the author thinks that the improvement of leadership style has a significant positive impact on the innovation organization atmosphere, and points out that positive leadership style can not only bring more innovative behaviors, but also affect the formation of organizational innovation atmosphere. Positive leadership is guided by managers, conveys enthusiasm to employees, considers and cares for employees, and thus creates a good organizational atmosphere [10]. Base on the above literature, the hypothesis 1 for this study is developed as follows:

H1: Positive Leadership has a positively influences Organizational Climate

2.2 *Organizational Climate and Creative Deviance*

Deviant innovation behavior is a voluntary behavior that violates important organizational norms and is not supported by management, but its behavior contributes to the healthy development of the organization or individual [11] . Organizational Climate makes it easier to drive employees' spontaneous innovation-related behaviors, according to Hobfoll [12] resource conservation theory, It is believed that people strive to obtain more and better resources, which is an important factor for psychological stress and bad mood.

The theory of resource conservation points out that the essence of resources is what people think is valuable or a way to obtain value. According to the theory of resource conservation, a good organizational atmosphere can provide employees with sufficient resources, and the acquisition of resources can reduce people's psychological pressure. In a more positive internal and external environment, organizational employees' awareness of innovation may increase, and most employees are more inclined to take behaviors that are beneficial to the organization when they are Creative Deviance [13].

Ding [14] believed that the organizational atmosphere is the overall perception and feeling of the organization's working environment, the bridge between the organizational system and member behaviors, and will affect the behavior of organizational members. Most scholars believe that organizational atmosphere is the perception or feeling of the internal environment of an organization, and it has an important impact on an individual's psychology, attitude, and behavior [15]. The organizational atmosphere will have a very positive impact on the emotional support of employees, and will become a very meaningful resource for company employees, thereby stimulating the enthusiasm of employees, promoting employees to build strong emotional trust and trust, and promoting employee innovative behavior, and promote

employees' change behavior. Creative Deviance makes it easier for employees to break through the status quo of existing regulations and take the initiative to innovate [10]. According to the above literature it would conclude the hypothesis 2 for this study as follows:

H2: Organizational Climate is positively affecting Creative Deviance.

2.3 Positive Leadership and Creative Deviance.

Positive Leadership positive employee bias and Creative Deviance: First, a positive atmosphere emphasizes that leaders can provide support and opportunities for learning and growth for subordinates' mistakes, and promote mutual concern [16]. These can alleviate employee concerns about leaders' refusal to innovate and enable employees to deviate from innovation and come up with better innovative solutions.

Secondly, constructing a positive relationship network for positive leaders and establishing a supportive positive relationship with subordinates has increased the psychological safety of employees [17]. After being rejected, employees can maintain their mindset and continue to innovate. Active leadership makes subordinates willing to take organized actions. Under the guidance of active leaders, employees will work to improve the innovation performance of the organization, and then make innovative behaviors that violate the rules of the organization form, which can often bring breakthrough innovation results to the organization [18]. Jiang [19] studies have shown that positive leadership can make such deviances bring beneficial results to the organization.

Finally, although Positive Leadership emphasizes positive communication, it does not ignore negative events. It advocates multiple perspectives to explain the behavior of subordinates. When things are not right, they will reject the subordinate's innovation and give appropriate advice and encourage and help the subordinates to use their innovative ability [20]. In addition, Creative Deviance is when employees' innovative behavior is rejected, employees will continue to innovate to continue to improve organizational efficiency. It is easier for leaders to understand the goodwill and original intentions of employees' off-track innovation [21]. You will also get better performance evaluations, more rewards and promotion opportunities in your business. Therefore, under the influence of Positive Leadership, employees will increase Creative Deviance. Base upon the above literature, the conclusion of hypothesis 3 for this study is inferred as follows:

H3: Positive Leadership is positively affecting Creative Deviance.

2.4 Positive Leadership, Organizational Climate and Creative Deviance.

The influence of organizational climate on the performance of scientific and technological talents, the performance of new product development and its mechanism is a hot issue of common concern in the fields of human resource management, modern statistics, psychology, behavior science and technology management [22]. Organizational atmosphere is an important bridge for leadership style and innovation activities [23]. As a Creative Deviance, transgression risk plays an important role in early business.

Through the emotional behavior model, the organizational atmosphere is composed of the emotions of members. When emotionally pleasing, the higher the organizational climate, the easier it is to generate innovative behavior [24]. When innovative behavior is rejected, employees will insist on innovative behavior, and innovation bias will regenerate innovative behavior and form Creative Deviance. At the same time, the research on employee transcendence innovation lacks theoretical analysis and empirical test of localization.

Different leadership styles will affect the establishment of organizational atmosphere, and then affect the innovative behavior of organizational members [25]. Positive organizational atmosphere will make it easier to accept new ideas from members of the organization and encourage employees to improve their own ideas [26]. Therefore, an organizational atmosphere of active learning and courage has formed within the organization. Under the influence of a good organizational atmosphere, employees will show more Creative Deviance. This shows that the organizational atmosphere plays a mediating role, making positive leadership style significantly positively affect employees' Creative Deviance. Therefore, according to the above literature the concluding hypothesis 4 for this study is inferred as follows:

H4: Organizational Climate plays an intermediary role in positive leadership style and Creative Deviance.

2.5 Organizational Climate,Creative Deviance and Psychological Contract.

Psychological contract is a kind of informal contract that is generated by private communication, verbal agreement, and expectations of both parties. It is the psychological perception of both parties in terms of their responsibilities and obligations. It is an employee's self-expression of the potential self-worth of the organization and expects the organization to pay more or promise [13]. The psychological contract phenomenon is very common, especially in the early stage of employee work, the trust, loyalty and satisfaction that organizations bring to their employees [27]. Will directly increase employee satisfaction and loyalty to the organization.

Jie and Fu [28] studies have concluded that psychological contract is a kind of cognitive and belief system for responsibility and obligation. Psychological contract profoundly affects the

attitude and behavior of employees, and then affects employee engagement. Although the level of psychological contract has no significant direct effect on employees' work performance, psychological contract can play a role in regulating innovative behavior [9]. According to Planned Behavior Theory. Duan and Jiang [29] it shows that Chinese people tend to follow social norms and responsibilities, and often put personal interests, attitudes, or personal needs in a secondary position. So, when the company fulfills its commitments and gives the employees psychological satisfaction, the employees will increase their own pro-organizational behavior. According to the above literature the conclusion of hypothesis 5 for this study is inferred as follows:

H5: Psychological contract positively regulates Organizational Climat and Creative Deviance.

3. Research methods and design

3.1 Research framework

According to the above literature, this study takes Positive Leadership as independent variable, Organizational Climat as intermediary variables, and take Creative Deviance as result variable. and Psychological contract as modera variable. The basic framework of this study was constructed as shown in figure 1:
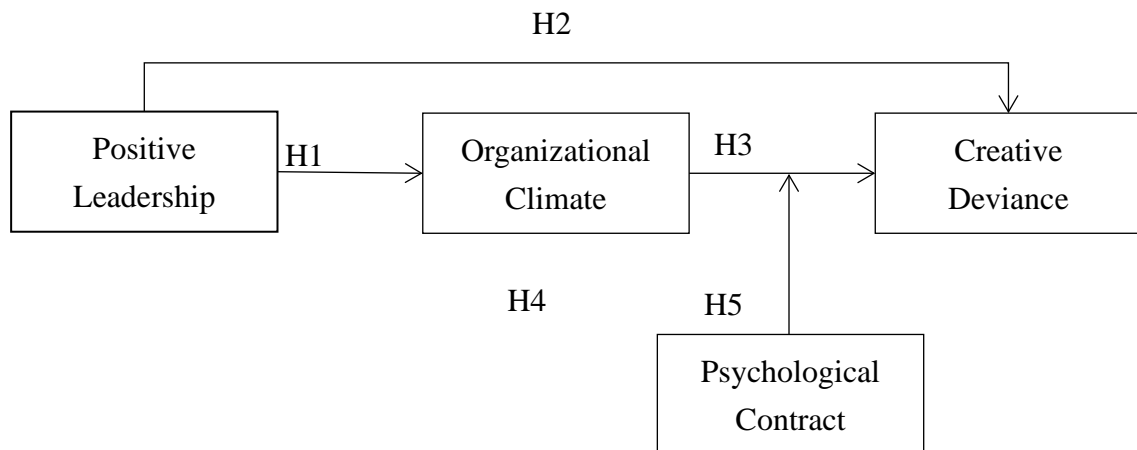
Figure 1: Research framework for this study

3.2 Operable definition and measurement of variables

3.2.1 Positive Leadership

This study is based on Owens et al. [5] the definition of positive leadership is that positive leadership is centered on enthusiasm, shaping the positive atmosphere of the company, and guiding employees' psychological emotions, thereby promoting the positive results of

individuals and organizations, thereby generating more benefits for the organization. Taking into account the research scenario, Research adoption Cameron [30] developed a four-dimensional scale of positive leadership. The positive atmosphere of the dimension reflects the emotional appeal of the leader; the positive relationship is reflected in the contact with employees to get more support from employees; the positive communication can better understand the employees' ideas To meet their needs; positive meaning allows employees to see the vision, operate for the benefit of the organization, Generate more pro-organizational behavior, of 24 topics and measured it with a Likert 's 5-point scale.

3.2.2 Organizational Climate

The operational definition of this study draws on the definition of emotional commitment from Ding [14] and Kuenzi et al. [15] the author thinks that Organizational Climate is a characteristic that affects the behavior of employees, and affects the internal and internal environment of the organization. It also has an important effect on the individual's psychology and behavior. The concept of organizational atmosphere is studied as a whole. This study intends to use Gallup's organizational climate assessment method Q20 to modify for early-stage companies, and used the Likert 's 5-point scale to measure emotional commitment.

3.2.3 Creative Deviance

The operational definition of this study draws on the definition of employee self-efficacy from Jiang [19] and Lin et al. this article considers Creative Deviance to be an individual's spontaneous innovation behavior. After the creative idea is rejected, it continues to innovate, and acts outside the role to bring performance to the organization. In this paper, we designed 10 questions according to the Chinese version of the Creative Deviance scale of Lin [31] and measured it with a Likert 's 5-point scale.

3.2.4 Psychological Contract

The operational definition of this study draws on the definition of employee voice behavior from Cang [37] the psychological contract is defined as a psychological contract that emphasizes the employee's psychological expectation and the contractual role of the manager as a cognitive and belief system for liability. Applicable to the organizational management system in the high context of China, in line with the research reality of this article, we designed 12 questions according to Li and Guo [32], and measured it with the Likert 's 5-point scale.

3.3 Research objects and data collection

The research objects of this study are mainly early-stage enterprises in second- and third-tier cities. Second-tier and third-tier cities have not weak competitiveness compared to first-tier cities [33]. At the same time, the nature of the business is small, and it is easy to obtain accurate

data [34]. Stratified sampling was conducted in Guizhou (Big Data Industry Concentration Zone) to illustrate the competitiveness of early-stage companies in second- and third-tier cities. In order to reduce paper pollution, an online questionnaire was filled out and an offline interview was conducted with a representative manager representing the company to see if the early industrial characteristics were consistent with this article. And commissioned the director to publish a questionnaire within the company to ensure the symbolic significance of the tested population.

Considering the factors of time, cost and convenience, this study uses the convenient sampling method, the scales used in this study are all mature scales. To effectively reduce Common method variation, in this study, we will pay attention to the wording of the questionnaire measurement items and try to avoid sensitivity issues. According to Paulhus [35] try to use maturity scale measurement items, reverse item cross-validation, anonymous testing, neutral sentences, etc. to minimize the deviation of social expectations.

3.4 Data analysis methods

First review and correct the collected raw data [36]. Before analyzing the relationship between the variables, first test the reliability and validity of the scale, then perform a factor analysis on each variable, and use the Bronbach's α coefficient to detect the validity. As suggested by Paulhus [38] this paper uses SPSS software to perform hierarchical regression analysis to verify the intermediary role of organizational climate in positive leadership and Creative Deviance, and the role of psychological contract in regulating organizational climate and Creative Deviance.

4. Expected research results

This study will sort out and analyze the questionnaire in detail to reduce the errors caused by common method variations and use SPSS and AMOS statistical software to test and analyze the various data. After obtaining the data analysis results, verify each variable and assumption, Get research results. Look for possible differences.

After the data analysis results are obtained, each variable and hypothesis are verified to obtain the research results. The results of this study are expected: positive leadership has a significant positive impact on organizational climate, positive leadership has a positive impact on Creative Deviance behavior through organizational climate, positive leadership and organizational climate have a positive impact on Creative Deviance behavior, and the psychological contract is positive To influence the relationship between organizational climate and Creative Deviance.

Based on the expected research results and the background of the research, we hope that the

results of this research will show the competitiveness of early-stage companies in second- and third-tier cities, and affect the Creative Deviance behavior of employees through the organizational atmosphere formed by positive leadership, so that employees can see the corporate vision , More willing to pay for the enterprise and bring more benefits to the enterprise. Early-stage companies need more innovative products to occupy the market. How to guide employees' Creative Deviance behavior will become the focus of early-stage companies. which will become the key effort direction of the management personnel in the future.

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Knowledge Management and Employee's Engagement of Beijing Dayungang Science and Technology Development Co., Ltd.

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Abstract

The purposes of this research were to study the level of knowledge management, the level of employee's engagement, and the relationship between knowledge management and employee's engagement of BeiJing DaYunGang science and technology development Co., Ltd.. A questionnaire was used to collect data from 92 employees. The statistics used to analyze the data were frequency, percentage, mean, standard deviation and Pearson correlation. The results showed that the knowledge management in the overview and all aspects were at the agree level. And there was a strong positive correlation between knowledge management and employee's engagement with statistically significant at .01 level.

Keywords: Knowledge management, employee's engagement, vigour, dedication, absorption

1. Introduction

In recent years, the growth rate of total retail sales of social consumer goods has continued to decline, but the growth rate has slowed down. In 2017, the growth rate of total retail sales remained near 10%, and the growth center of total retail sales of Enterprises above the quota has also remained low. From January to October 2017, the total retail sales of social consumer goods were 29.741.9 billion yuan, an increase of 10.3% over the same period last year. Among them, the retail sales of consumer goods per unit above the quota were 13.161.8 billion yuan, an increase of 8.3%, an increase of 0.5 percentage points over the same period last year. In October, the total retail sales of social consumer goods were 3,424.1 billion yuan, up 10.0% in nominal terms (8.6% in real terms after deducting price factors), which was unchanged from the same period last year. Among them, the retail sales of unit consumer goods above the quota increased by 7.2% to 1,437.4 billion yuan, down by 0.3 percentage points over the same period last year. From the data point of view, although the commodity trade industry is still growing, the growth rate is declining year by year [1]. With the continuous development of the commercial trade industry, more and more commercial trading companies have emerged as the times require. There are a large number of small and medium-sized commercial trading companies. BeiJing DaYunGang science and Technology Development Co., Ltd. is a small commercial company focusing on commercial trade. How to gain an advantage in the competitive environment is a major problem faced by BeiJing DaYunGang science and

Technology Development Co., Ltd.

2. Knowledge Management

There are numbers of experts definite the knowledge management. There are three dimensional definitions about knowledge management.

The knowledge management was a result of the management theorists and practitioners in the early time. The information and explicit knowledge became more important valuable assets of an organization. Peter Senge focused on the "learning organization" and the culture of knowledge management. The pioneering research on the diffusion of innovation, information technology influenced the understanding of organizational knowledge.

2.1 Knowledge Creation and Capture

Any team, group, company or organization is creating knowledge continually. The basic aim of knowledge management is gathering the new knowledge which is generated through the interaction between people or organization. Because of the high competitive, the needed of new knowledge is increasing. Enterprises and organizations have to create and capture the novel ideas, concepts and knowledge. In fast changing markets, the development of corporation occasionally rest with the creation, innovation and collection of new knowledge, and whether it can form a competitive product or service [15].

2.2 Knowledge Sharing and Enrichment

Knowledge sharing and enrichment possibly the most important element of knowledge management. Knowledge can be processed and enriched during the process of knowledge sharing. Employees can share knowledge with internal staff or external personnel. The level of knowledge sharing can largely determine the competitive advantage of enterprise [15].

2.3 Knowledge Management Tools

In daily operation, every organization deal with knowledge. There are many benefits to deal with knowledge in a systematic and formal way:(a) understand the functioning of the organization; (b) decrease the time and effort required to find information and documentation; (c) avoid repeating mistakes and work; (d) lessen the response time to frequently asked questions; (e) increase the quality and speed of important decisions making.

Knowledge management tools are the systems that used to create, record and shore the knowledge such as a software application. Employees can find these knowledge in forms, reports or documents easily. There are some typical tools in knowledge such as document management, information database and lessons learned system, collaboration and so on [15].

3. Employee Engagement

Having presented all the arguments, this study contends that engagement does not lie along the same continuum tangentially opposite burnout but is, in fact, an independent concept. If an individual does not experience burnout (at one end of the continuum), it does not mean that he or she is experiencing engagement (at the other end of the continuum). Employee engagement is a state of mind which is a pervasive affective cognitive state requiring a person's attention and immersion in their job. In order to give full attention to one's job and to be fully immersed, one needs to be positive and enthusiastic about it. As an independent concept, employee engagement can best be defined as a positive, fulfilling, work-related state of mind that is characterised by vigour, dedication and absorption [11].

3.1 Vigour

The first element of employee engagement, vigour, is a positive affective response to an employee's interactions with the elements of the job as well as the environment. The concept of vigour is drawn from the view that individuals share a basic motivation to obtain, retain and protect the things that they value, such as resources (in this case, energetic resources) Energetic resources refer to physical strength, emotional energy and cognitive liveliness [11].

3.2 Dedication

The second element of employee engagement is dedication. This refers to being strongly involved in one's work and experiencing a sense of significance, enthusiasm, inspiration, pride and challenge [11]. Being dedicated to one's job includes motivated acts such as working hard and giving the best that one can at work. Work not only seems to be important but also requires self-disciplined behaviour, as demonstrated by following rules, taking the initiative to solve a problem at work and exceeding one's personal job requirements

3.3 Absorption

The third element of employee engagement is absorption. This describes the feeling of contentment while performing work. Absorption represents a state of being fully concentrated on and happily engrossed in work, a state in which time passes quickly and one has difficulty in detaching oneself from work. This domain of employee engagement concerns the hedonic aspect of work. For a person to be engaged, he or she should enjoy the work and find pleasure in performing it. Thus, a happy and focused employee embodies an engaged employee. A study using 30 in-depth 23 interviews confirmed that absorption is a relevant aspect of engagement [11].

4. Research Objectives

1) To study the level of knowledge management of BeiJing DaYunGang science and Technology Development Co., Ltd.

2) To study the level of employee's engagement of BeiJing DaYunGang science and Technology Development Co., Ltd.

3) To study a relationship between knowledge management and employee's engagement of BeiJing DaYunGang science and Technology Development Co., Ltd.

4.1 Research Hypothesis

There is a relationship between knowledge management and employee's engagement of BeiJing DaYunGang science and Technology Development Co., Ltd.

4.2 Conceptual Framework

Knowledge Management is the process through which organization generate value from their intellectual and knowledge-based assets that Introduction to Knowledge Management [16]. Employee Engagement is a positive, enriching and work-related mental state [11].

4.3 Population and Sample

In this study, BeiJing DaYunGang science and Technology Development Co., Ltd. was chosen as a target group. This company is a typical business and trade industry. It also faced the typical problem of development. It entirely matched the topic of study. In total, there were 120 employees and manager in this company. The researcher used Krejcie and Morgan [7] sample size table. The table shows that with 120 populations, the sample size would be 92 samples.

4.4 Data Collection

The process of collecting data:

1) Ask the company for the permission to collect data.

2) Send the questionnaire to the company.

4.5 Research Instrument

This research used questionnaire to investigate level of knowledge management and employee's engagement and how knowledge management related to employee's engagement.

The questionnaire designed as three parts. The first part was demography of employees. The

questions were design to be closed-ended with choice answers. The second part was the level of knowledge management in the company. Knowledge management in questionnaire was divided into knowledge creation and capture, knowledge sharing and enrichment and knowledge management tools. The third part was the level of employee's engagement. Employee's engagement in questionnaire was segmented into Vigour;Dedication and Absorption. Both knowledge management and employee's engagement are designed as 5-scale answers. Likert's scale [7] referred in Warmbrod [17] 1 = Strongly disagree, 2 = Disagree, 3 = Neutral, 4 = Agree, 5 = Strongly Agree

All the questions of questionnaire would be fixed after reliability validity test by professionals. This process made sure all questions were effective and reliable.

5. Assessment of Research Tools

Questionnaire was used as a data collection tool in this research. The language of questionnaire was Chinese. The questionnaire's items were as follow: knowledge creation and capture, knowledge sharing and enrichment and knowledge management tools effecting employee's engagement.

5.1 Employees' Background

This part was the basic information about 92 employees of company. The information was including the age, years of work, education background and departments of company which items might influence the result.

5.2 Knowledge Management Questionnaire

The questionnaire was used to ask the level of knowledge management in the company. All questions were in close-ended form. The knowledge management questionnaire was used to test whether knowledge creation and capture, knowledge sharing and enrichment and knowledge management tools had a significant relationship with employees' performance. The whole number of items of knowledge management were divided into three parts included (1) knowledge creation and capture, (2) knowledge sharing and enrichment, (3) knowledge management tools.

5.3 Employee engagement Questionnaire

The questionnaire was used to measure the employees' engagement of company. All questions were in close-ended form. The employees' engagement questionnaire was designed to test the level of employees' engagement. The whole number of items of employees' engagement were divided into three parts included (1) Vigour, (2) Dedication, (3) absorption.

6. Validity and Reliability

6.1 Validity

The questionnaire was designed after interviewing employees and managers of the company. Depends on feedback of experts, researcher revised the instrument. The Item-Objective Congruence (IOC) was used to evaluate the items of the questionnaire based on the score range from Congruent = + 1, Questionable = 0, and Incongruent = -1. The items that had scores lower than 0.5 were revised. On the other hand, the items that had scores higher than or equal to 0.5 were reserved. In this process, three experts checked the questionnaire. The average score is 0.95, more than 0.5. The score was accepted to issue questionnaire.

6.2 The reliability

The reliability of the questionnaire was determined by using to test for non-response bias, the mean of all variables obtained from early and late respondents was calculated. In order to evaluate the reliability, an initial sample of 30 questions was per-tested. The reliability value was calculated by using Cronbach's alpha to ensure whether there was internal consistency within the items. George and Mallery [18] illustrated the value of Coefficient Cronbach's Alpha as the following: 0.9= Excellent, 0.8 = Good, 0.7 = Acceptable, 0.6 = Questionable, 0.5 = Poor, 0.5=Unacceptable. Therefore, in order for the research questionnaire to be reliable, its value of Coefficient Cronbach's Alpha must be at least 0.7.

7. Data Analysis

Descriptive statistical analysis was used to describe the level of Knowledge Management and the level of Employee Engagement. These data were described by frequency, percentage, mean and standard deviation.

Likert's scale (1932) referred in Warmbrod [17] 1 = Strongly disagree, 2 = Disagree, 3 = Neutral, 4 = Agree, 5 = Strongly Agree

Interpret the average of mean scale (Best, 1981: 82) ,4.50-5.00 = Strongly Agree,3.50-4.49 = Agree,2.50-3.49 = Neutral,1.50-2.49 = Disagree,1.00-1.49 = Strongly Disagree

The relationship between Knowledge Management and Employee Engagement was using Person correlation standard. Level of the correlation [3] 00 - .19 = Very Weak,.20 - .39 = Weak,.40 - .59 = Moderate,.60 - .79 = Strong,.80 - 1.0 = Very Strong

8. Result

There were basic information of respondents. Most respondents were 18-24 years old. Most

respondents were working 1-3 years. 44.57% of respondent had Bachelor's degree. 35.87% of respondents worked in Administration.

8.1 Knowledge management

This part described the Mean and Std. deviation of each issue of knowledge management, and defined the level of knowledge management in BeiJing DaYunGang science and Technology Development Co., Ltd.

Table 1 Mean and Std. Deviation of knowledge management

Knowledge management	$\bar{x}$	SD	Level	Rank
Knowledge creation and capture	4.09	.74	Agree	3
Knowledge sharing and enrichment	4.13	.72	Agree	2
Knowledge management tools	4.17	.72	Agree	1
Total	4.13	.70	Agree	

Table 1 showed that knowledge management of BeiJing DaYunGang science and Technology Development Co., Ltd. was at the level of agree. The highest variables of knowledge management were knowledge tools.

Knowledge creation and capture of BeiJing DaYunGang science and Technology Development Co., Ltd. was at the level of agree. The factor that The company provides training and learning opportunities for its employees got the highest score, with the level of agree.

Knowledge sharing and enrichment of BeiJing DaYunGang science and Technology Development Co., Ltd. was at the level of agree. The factor that Employees are encouraged to learn from mistakes and share with colleagues was got highest score, with the level of agree.

Knowledge management tools of BeiJing DaYunGang science and Technology Development Co., Ltd. was at the level of strongly disagree. The factor that The company prepare information technology for employees to acquire knowledge and information quickly in different occasions got the highest score, with the level of agree.

8.2 Employee's Engagement

This part described the Mean and Std. deviation of each issue of employee's engagement, and defined the level of employee's engagement in BeiJing DaYunGang science and Technology Development Co., Ltd.

Table 2 Mean and Std. Deviation of employee's performance

Employee's engagement	$\bar{x}$	SD	Level	Ranking
Vigour	4.00	.90	Agree	2
Dedication	4.05	.79	Agree	1
Absorption	3.98	.88	Agree	3
Total	4.01	.80	Agree	

Table 2 showed that employee's engagement of BeiJing DaYunGang science and Technology Development Co., Ltd. was at the level of agree. The highest variables of employee's engagement was Dedication.

Vigour of BeiJing DaYunGang science and Technology Development Co., Ltd. was at the level of agree. The factor that I can continue working for very long periods at a time got the highest score, with the level of agree.

Dedication of BeiJing DaYunGang science and Technology Development Co., Ltd. was at the level of agree. The factor that At my work I always persevere, even when things do not go well got the highest score, with the level of agree.

Absorption of BeiJing DaYunGang science and Technology Development Co., Ltd. was at the level of agree. The factor that I am proud of the work I do problems in work got the highest score, with the level of agree.

8.3 Pearson Correlations

The relationship between several variables should be measured when analyzing this research question. The variables were knowledge creation and capture, knowledge sharing and enrichment, and knowledge management tools; Vigour, Dedication and Absorption. The data for each variable were collected from BeiJing DaYunGang science and Technology Development Co., Ltd. The relationship between variables were analyzed by Pearson Correlation at a significance of .01 level.

8.3.1 Knowledge management and Vigour

The variables of knowledge management and vigour has been analyzed. The variables of knowledge management were found to be related significantly to vigour.

The statistic showed that there were positive correlation between knowledge management and vigour, with a positive strong correlation level (r=.75**). Knowledge management sharing and enrichment and vigour had positive correlation with most significant at positive strong

correlation (r=.73**). Knowledge creation and capture showed the positive strong correlation with vigour (r=.70**).

8.3.2 Knowledge management and Dedication

The variables of knowledge management and dedication has been analyzed. The variables of knowledge management were found to be related significantly to dedication.

The statistic showed that there were positive correlation between knowledge management and dedication, with a position strong correlation level (r=.79**). Knowledge creation and capture and dedication had positive correlation with most significant at positive strong correlation (r=.76**). Knowledge sharing and enrichment showed positive strong correlation with dedication (r=.75**).

8.3.3 Knowledge management and Absorption

The variables of knowledge management and absorption has been analyzed. The variables of knowledge management were found to be related significantly to absorption.

The statistic showed that there were positive correlation between knowledge management and absorption, with a position strong correlation level (r=.75**). Knowledge management tools and absorption had positive correlation with most significant at positive strong correlation (r=.73**). Knowledge creation and capture showed positive moderate correlation with absorption (r=.70**).

8.3.4 Knowledge management and employee's engagement

The variables of knowledge management and employee's engagement has been analyzed. The variables of knowledge management were found to be related significantly to employee's engagement. The statistic showed that there were positive correlation between knowledge management and employee's engagement, with positive very strong correlation (r=.82**). knowledge sharing and enrichment and employee's engagement had positive correlation with most significant at positive strong correlation level (r=.79**). Knowledge creation and capture showed the positive strong correlation level with employee's engagement (r=.77).

Table 3 Pearson Correlation of knowledge management and employee's engagement

Knowledge Management	Employee's engagement				
	r	Sig. (2-tailed)	Level		Ranking
Knowledge creation and capture	.77**	.000	Positive strong correlation		3
Knowledge sharing and enrichment	.79**	.000	Positive strong correlation		1
Knowledge management tools	.79**	.000	Positive strong correlation		2
Total	.82**	.000	Positive very strong correlation		

**. Correlation is significant at the .01 level (2-tailed).

9. Discussions

1) The level of knowledge management in this research was at a high level. The results of related researches showed a high level in knowledge management. The level of knowledge management in this study was same with the level of knowledge management in the other researches. Such as Kim and Park [16] studied on Examining Structural Relationships between Work Engagement, Organizational Procedural Justice, Knowledge Sharing, and Innovative Work Behavior for Sustainable Organizations.The statistic of the study showed that knowledge management was at a high level. The problem of the BeiJing DaYunGang company might be that it was a old company. Or degrees of employees were too high.

2) Nearly all related researches showed a high level in employee's engagement. In this research, there also an agree level of employee's engagement. It showed same result with related researches. For example, Tsogtsuren and Tugsuu [14] study on The impacts of organizational justice and culture,knowledge management and employee engagement on employee's job. The research showed that the employee's engagement in a company was at a high level. This research was test the employee's engagement, it cause the result same with related research. The employees think they have high engagement.

3) There was positive strong correlation between knowledge management and employee's engagement. Related researches also showed positive correlation between knowledge management and employee's engagement. This research and related researches showed the same result in the relationship of knowledge management and employee's engagement. A study on The Effect of Organization Culture, Knowledge Sharing and Employee Engagement on Employee Work Innovation, knowledge sharing is a direct influence to the employee engagement [4].

10. Recommendation

The level of knowledge management and employee's engagement in BeiJing DaYunGang science and Technology Development Co., Ltd. was agree. Knowledge management and employee's engagement had positive strong correlation. If the company want to increase the employee's engagement, the company can focus on increasing knowledge management level.

Knowledge management sharing and enrichment had positive strong correlation with Employee's Engagement.The company can improve employee's engagement by improving the level of knowledge sharing and enrichment.

This research just uses one company as a case. The result can be used as a guide for BeiJing DaYunGang company, but it can't be a guide for all SMEs. Future researches are required to find more universal result for all SMEs to build up their knowledge management systems. Future researches can not only focus on China, but also focus on the other countries.

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Employee Motivation And Engagement Of Shenzhen Shangyang Insulation Material Co., Ltd.

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Abstract

The purposes of this research were to study the level of employee motivation, the level of employee engagement, and the relationship between employee motivation and employee engagement of Shenzhen Shangyang Insulation Material Co., Ltd..A questionnaire was used to collect data from 99 employees. The statistics used to analyze the data were frequency, percentage, mean, standard deviation and pearson correlation.

The results showed that the employee motivation in the overview and all aspects were at the agree level. The highest variables of employee motivation was achievement, the second was work itself, and the lowest was recognition. The results showed that the employee engagement in the overview and all aspects were at the agree level. The highest variables of employee engagement was affective commitment, the second was cognitive commitment, and the lowest was behavioural commitment. And there was a very strong positive correlation between employee motivation and employee engagement with statistically significant at .01 level.

Keywords: Employee motivation, employee engagement, motivators, job satisfaction, employee performance

1.   Background and Statement of the problem

With the rapid development of the electronic industry, die-cutting industry as a supporting processing industry of electronic information products, die-cutting industry is in line with the development. One of the main trends of die cutting technology development is: intelligent, human-oriented, automatic, digital, high-precision is the general trend. In the current Chinese society, the problem of "labor shortage" has expanded from the eastern coastal enterprises to the central and western regions. In the face of the expanding labor shortage, it reflects not only the unilateral problem that enterprises can't recruit workers, but also the increasingly prominent problems of industrial upgrading, enterprise transformation and other aspects.

Employee engagement is an important theory of human resource management that has emerged in recent 20 years. Employee engagement is the focus of current organizations in various industries and the key factor for the success of enterprises. At present, the competition of talents among enterprises is increasingly fierce. How to effectively motivate employees and make them show a high degree of engagement and actively contribute to the development goals of

enterprises is an important issue in enterprise management.

Shenzhen Shangyang Insulation Material Co., Ltd., founded in 2004, is the most powerful die-cutting production benchmarking enterprise in China. In the development process, the company currently faces some problems, one of which is that it is difficult to recruit and manage employees, and the employees generally lack professional quality. At present, the problems encountered by the rising company are also the common problems of small and medium-sized private enterprises in China: difficult to recruit and manage employees. Employees generally lack professionalism. Therefore, it is of great significance for the company, even for other small and medium-sized private enterprises, especially for manufacturing enterprises: how to carry out employee motivation, how to motivate employees' subjective initiative, how to fully mobilize employees' enthusiasm for work, so that employees can better invest in work and improve their professionalism, so as to improve the company's benefits and further development of the organization For protection.

2. Objectives

1) To study the level of employee motivation of Shenzhen Shangyang Insulation Material Co., Ltd.;
2) To study the level of employee engagement of Shenzhen Shangyang Insulation Material Co., Ltd.;
3) To study a relationship between employee motivation and employee engagement of Shenzhen Shangyang Insulation Material Co., Ltd..

3. Research Hypothesis

There is a significant relationship between employee motivation and employee engagement of Shenzhen Shangyang Insulation Material Co., Ltd..

4. Literature Review

4.1 Employee motivation

Herzberg's Motivation Theory model, or Two Factor Theory, argues that there are two factors that an organization can adjust to influence motivation in the workplace [9]. The two factors identified by Herzberg are motivators and hygiene factors.

These factors are:
Motivators: Which can encourage employees to work harder.
Hygiene factors: These won't encourage employees to work harder but they will cause them to become unmotivated if they are not present.

The two-factor theory was born in the United States where the problem of food and clothing has been solved. Shenzhen Shangyang Insulation Materials Co., Ltd. was established in 2004 in Shenzhen, the frontier of China's reform and opening up. Now, the new generation of "post-80s" and "post-90s" employees have become the main employees of the company, and their food and clothing problems have been basically solved. How to improve their level of engagement to improve business efficiency has become an urgent issue.

In this study, we focus on the motivation factors and employee engagement of the Shangyang company, so we focus on the motivating factors of Herzberg's theory.

    1. Achievement: A job must give an employee a sense of achievement. This will provide a proud feeling of having done something difficult but worthwhile.
    2. **Recognition:** A job must provide an employee with praise and recognition of their successes. This recognition should come from both their superiors and their peers.
    3. Work itself: The job itself must be interesting, varied, and provide enough of a challenge to keep employees motivated.
    4. Responsibility: Employees should "own" their work. They should hold themselves responsible for this completion and not feel as though they are being micromanaged.
    5. Advancement: Promotion opportunities should exist for the employee.
    6. **Growth:** The job should give employees the opportunity to learn new skills. This can happen either on the job or through more formal training.

4.2 Employee engagement

International Survey Research Consultancy in 2003 developed a three component model to aid in the understanding of employee engagement at an organizational level, the Think, Feel and Act model [21]. The three elements are of mutual importance to facilitate organizational understanding of the employee engagement process in order to access the current level of engagement and to set out a path to improve this level of engagement [20].

According to ISR strong employee engagement comes from a combination of all three components of the model.

    1. Cognitive commitment: Describes an employee's intellectual connection with the company, including their support of and belief in the company's objectives.
    2. Affective commitment: Describes a strong emotional connection to the company. They feel loyal, devoted, have a sense of belonging and are proud to work for the company.
    3. Behavioural commitment: Employees act in ways that support the success of the organization. Willingness to stay with the company despite other opportunities and frequently go above and beyond normal expectations to help the company succeed.

5. Conceptual framework

Independent Variables		Dependent Variables
Employee motivation 1. Achievement 2. Recognition 3. Work itself 4. Responsibility 5. Advancement 6. Growth	⬄	**employee engagement** 1. think: cognitive commitment 2. feel: affective commitment 3. act: behavioural commitment
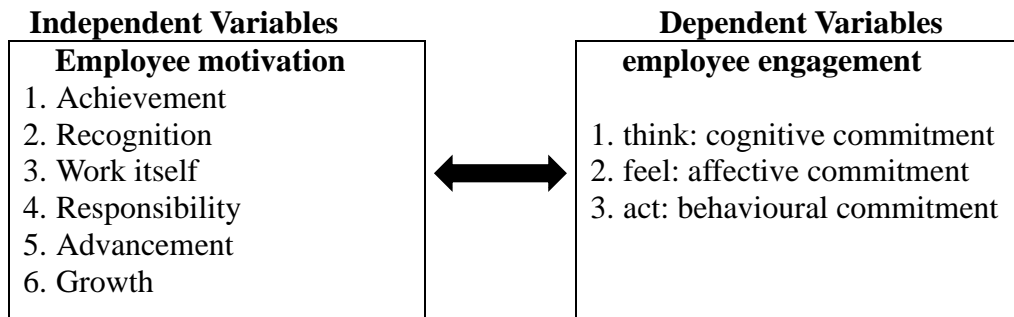
Figure 1 Conceptual framework

6. **Research Methodology**

6.1 Population

This study is based on Shenzhen Shangyang Insulation Material Co., Ltd.. The company has 130 employees.

6.2 Sample

The sample size was calculated based on Yamane's formula.

$$n = \frac{N}{1+N*(e)^2}$$

Where, n =   the sample size

          N =   the size of population

          e =   the error of 5 percentage points.

By using formula of sample size with an error 5% and with a confidence coefficient of 95%, the calculation from a population of 130 (previous population approximation) came up with 99 employee from Shenzhen Shangyang Insulation Material Co., Ltd..

6.3 Research Instrument & Data Collection

A questionnaire was used as a data collection tool in this research. The questions were design to be closed-ended with choice answers. The questionnaire designed as three parts. The first part was demography of employees. The second part was the level of employee motivation in the company. Employee motivating factors in questionnaire was divided into achievement, recognition, work itself, responsibility, advancement, and growth. The third part was the level of employee engagement in the company. employee engagement in questionnaire was segmented into cognitive commitment, affective commitment and behavioural commitment. For employee motivation and employee engagement was used 5 Likert's scale [1] referred in

Warmbrod [18]: 1 = strongly disagree, 2 = disagree, 3 = neutral, 4 = agree, 5 = strongly agree.

6.4   Assessment of Research Tools

The Item-Objective Congruence (IOC) was used to evaluate the items of the questionnaire based on the score range from -1 to +1. In this process, three experts checked the questionnaire. The average score is .938, more than .50. The score was accepted to issue questionnaire.

The reliability of the questionnaire was determined by using to test for non-response bias with 30 samples. According to the questionnaire trial, the total Cronbach's alpha was .956, the Cronbach's alpha of employee motivation was .943, the Cronbach's alpha of employee engagement was .865. The questionnaire was highly reliable.

6.5 Data Analysis

Descriptive statistical analysis was used to describe the employee motivation and employee engagement. These data were described by frequency, percentage, mean, and standard deviation. To interpret the level of mean referred Warmbrod [18] as showed in table 1.

Table 1 Interpret the average of the mean scale

Level	Mean level
4.50 - 5.00	Strongly agree
3.50 - 4.49	Agree
2.50 - 3.49	Natural
1.50 – 2.49	Disagree
1.00 – 1.49	Strongly disagree

The hypothesis testing on the relationship between employee motivation and employee engagement were used Pearson correlation standard.To interpret the level of correlation referred to Evans as showed in table 2.

Table 2 Interpret the level of correlation

Number	Level
.00-.19	Very weak correlation
.20-.39	Weak correlation
.40-.59	Moderate correlation
.60-.79	Strong correlation
.80-1.0	Very strong correlation

7. Research Result

The result of this research shows that: The most respondents were male (54 people, 54.55%), and the most of respondents age were 26-35 years old for (51 people, 51.52%),   and the most of respondents were High school and below for (54 people, 54.55%), and the most of

respondents were   working less than 1 year for (34 people, 34.34%), and the most of respondents were working at the production department (64 people, 64.65%).

Table 3   Mean and Std. Deviation and Level, Ranking of employee motivation

Employee motivation	$\overline{X}$	SD	Level	Rank
Achievement	3.97	.42	Agree	1
Recognition	3.76	.54	Agree	6
Work itself	3.93	.47	Agree	2
Responsibility	3.87	.50	Agree	3
Advancement	3.77	.56	Agree	5
Growth	3.80	.63	Agree	4
Total	3.85	.46	Agree	

Table 3 showed that the employee motivation was at the agree level ($\overline{X}$=3.85, SD=.46). The highest was "Achievement" at the agree level ($\overline{X}$=3.97, SD=.42). The second was "Work itself" at the agree level ($\overline{X}$=3.93, SD=.47), and the lowest was "Recognition"at the agree level ($\overline{X}$=3.76, SD=.54) respectively.

Table 4 Mean and Std. Deviation and Level, Ranking of   Employee engagement

Employee engagement	$\overline{X}$	SD	Level	Rank
Cognitive commitment	3.79	.54	Agree	2
Affective commitment	3.84	.53	Agree	1
Behavioural commitment	3.76	.54	Agree	3
Total	3.80	.50	Agree	

The table 4   showed that the employee engagement was at the agree level ($\overline{X}$=3.80, SD=.50). The highest was "Affective commitment" at the agree level ($\overline{X}$=3.84, SD=.53). The second was "Cognitive commitment" at the agree level ($\overline{X}$=3.79, SD=.54). And the lowest was "Behavioural commitment" at the agree level ($\overline{X}$=3.76, SD=.54) respectively.

7.1   Hypothesis testing

Pearson correlation was used to analyze the relationship between employee motivation and employee engagement. As showed in table 5.

Table 5 Pearson Correlation of employee motivation and employee engagement

Employee motivation	Employee engagement			
	r	Sig. (2-tailed)	Level	Rank
Achievement	.60**	.00	Strong positive correlation	6
Recognition	.70**	.00	Strong positive correlation	4
Work itself	.68**	.00	Strong positive correlation	5
Responsibility	.73**	.00	Strong positive correlation	3
Advancement	.85**	.00	Very strong positive correlation	2
Growth	.86**	.00	Very strong positive correlation	1
Total	.88**	.00	Very strong positive correlation	

**. Correlation is significant at the .01 level (2-tailed).

The table 5 showed that there was a relationship between employee motivation and employee engagement with very strong positive correlation (r=.88**). That the two employee motivation variables were had relationship with employee engagement at a very strong positive correlation were growth (r=.86**) and advancement (r=.85**); The other four employee motivation variables were had relationship with employee engagement at a strong positive correlation were Responsibility (r=.73**), Recognition (r=.70**), Work itself (r= .68**) and Achievement (r= .60**) with statistically significant at .01 level.

Table 6 Pearson Correlation of employee motivation and Cognitive commitment.

Employee motivation	Cognitive commitment			
	r	Sig. (2-tailed)	Level	Rank
Achievement	.52**	.00	Moderate positive correlation	6
Recognition	.64**	.00	Strong positive correlation	4
Work itself	.64**	.00	Strong positive correlation	5
Responsibility	.65**	.00	Strong positive correlation	3
Advancement	.84**	.00	Very strong positive correlation	2
Growth	.86**	.00	Very strong positive correlation	1
Total	.82**	.00	Very strong positive correlation	

**. Correlation is significant at the .01 level (2-tailed).

The table 6 showed that there was a relationship between employee motivation and cognitive commitment with very strong positive correlation (r=.82**). That the two employee's motivation variables were had relationship with cognitive commitment at a very strong positive correlation were growth (r=.86**) and advancement (r=.84**); The other three employee's motivation variables were had relationship with cognitive commitment at a strong positive correlation were Responsibility (r=.65**), Recognition (r=.64**) and Work itself (r=.64**);

And the lowest was Achievement (r=.52**) with statistically significant at .01 level.

Table 7 Pearson Correlation of employee motivation and Affective commitment.

Employee motivation	Affective commitment			
	r	Sig. (2-tailed)	Level	Rank
Achievement	.52**	.00	Moderate positive correlation	6
Recognition	.64**	.00	Strong positive correlation	4
Work itself	.64**	.00	Strong positive correlation	5
Responsibility	.65**	.00	Strong positive correlation	3
Advancement	.84**	.00	Very strong positive correlation	2
Growth	.86**	.00	Very strong positive correlation	1
Total	.82**	.00	Very strong positive correlation	

**. Correlation is significant at the .01 level (2-tailed).

The table 4.19 showed that there was a relationship between employee motivation and affective commitment with very strong positive correlation (r=.82**). That the two employee's motivation variables were had relationship with affective commitment at a very strong positive correlation were growth (r=.86**) and advancement (r=.84**); The other three employee's motivation variables were had relationship with affective commitment at a strong positive correlation were Responsibility (r=.65**), Recognition (r=.64**) and Work itself (r=.64**); And the lowest was Achievement (r=.52**) with statistically significant at .01 level.

Table 8 Pearson Correlation of employee motivation and Behavioural commitment.

Employee motivation	Behavioural commitment			
	r	Sig. (2-tailed)	Level	Rank
Achievement	.61**	.00	Strong positive correlation	6
Recognition	.67**	.00	Strong positive correlation	3
Work itself	.62**	.00	Strong positive correlation	5
Responsibility	.70**	.00	Strong positive correlation	2
Advancement	.73**	.00	Strong positive correlation	1
Growth	.65**	.00	Strong positive correlation	4
Total	.80**	.00	Very strong positive correlation	

**. Correlation is significant at the .01 level (2-tailed).

The table 8 showed that there was a relationship between employee motivation and behavioural commitment at a very strong positive correlation (r=.80**). All aspects of the employee's motivation had strong positive correlation with behavioural commitment. The highest was advancement (r=.73*). The second was responsibility (r=.70**) and the lowest was achievement (r=.61**) with statistically significant at .01 level.

8. Discussion

8.1 Employee motivation

The research showed that employee motivation was at the agree level and achievement plays the most important role in employee motivation. This is basically consistent with the research on the relationship between incentive factors and work performance of Malaysian service employees [1], but there are also differences.The same point of view is: Both have made clear the important role of incentive factors in improving work performance (employee engagement). The difference is: our research results show that achievement and work itself and responsibility are the most important three incentive factors, while training and promotion are the most important two incentive factors [1].

8.2 Employee engagement

The research showed that employee engagement was at the agree level and affective commitment plays the most important role in employee engagement. Knight, R. [10] studied on employee engagement at Topaz's South Dublin Region Service Stations. The dissertation aims to look at the areas where management interventions can be implemented to increase the overall level of employee engagement. The research showed that the Topaz service stations within the South Dublin catchment area, Employee engagement level also is agree level.

8.3 Hypothesis Testing

There was a very strong positive correlation between employee motivation and employee engagement in Shenzhen Shangyang Insulation Material Co., Ltd..Related research also showed the same result. Employee Engagement and Motivation : A Case Study (July 20, 2012). Research shows that: Employees may be motivated on the job by many things, such as a sense of achievement, recognition, enjoyment of the job, promotion opportunities, responsibility, and the chance for personal growth. Employee engagement and performance are directly related to the incentive factors adopted by the company. It founded that most departments believe that employee motivation can improve employee engagement [12].

9. Recommendation

9.1 Recommendations from this research

Although the significance of recognition in this research was not obvious in Shenzhen Shangyang Insulation Material Co., Ltd. this could be suggested that: the company's leaders should be good at discovering and praising the achievements of employees. In terms of incentive management methods, it can set an example for employees, not only to recognize excellent employees, but also to motivate other employees to work better. This paper suggests that in the process of team building, enterprises should focus on the construction of corporate

culture. Excellent corporate culture can improve the mental state of employees and cultivate more excellent employees with pride and honor.

The importance of behavioural commitment in this study is not obvious in Shenzhen Shangyang Insulation Material Co., Ltd.. According to the results of the questionnaire survey, the company should improve the working environment and quality of life as much as possible, improve the job satisfaction of employees; improve employee welfare, provide promotion opportunities and career growth opportunities for employees as much as possible, so as to enhance the sense of belonging of employees to the company, improve the engagement of employees, and improve the efficiency of the enterprise.

The company pays attention to the incentive of employees, and takes the incentive of employees as an important work of the company's enterprise construction. Next, it is suggested that Shenzhen Shangyang thermal insulation materials Co., Ltd. should introduce employee incentive courses and methods, understand the incentive principles, formulate long-term employee incentive policies and mechanisms, create a good corporate culture atmosphere, and then improve the sense of belonging and engagement of employees to the enterprise.

9.2 Recommendations from future research

This research just used one company as a case. The result can be used as a guide for Shenzhen Shangyang Insulation Material Co., Ltd. and can also provide reference for other die-cutting enterprises. Future research needs to establish employee motivation systems for other die-cutting enterprises to find more general result. Future research can be concentrated not only in China but also in other countries

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Successful Handshake and Business Cross-Cultural Negotiation Communication

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Abstract

A combination of economic, legal and cultural factors unique to that domestic environment or country, affects businesses within a domestic atmosphere. Negotiation among cross-cultural business is an integral part of the global market, and research in this field serves as a significant part of the business environment that belongs to different countries with different values and beliefs. In order to achieve successful business results, knowledge about other's languages, culture, norms, beliefs, and behaviors are the primary part of the negotiation. Understanding and respecting the cultures and values of each other can enable a win-win situation. The present paper focuses on the factor and importance that cross-cultural communications play in various kinds of the effective negotiation process.

Keywords: Business negotiation, Cross-culture communication, Cross-cultural business, Negotiation style, Negotiation process.

1. Introduction

The rapid advancement of society and the advancement of human civilization have made many businesses international, as vastly different cultures are now more closely interlinked. Communication behaviors in different kinds of negotiation can be characterized as tactics, as they are employed in facilitating of a goal. Cross-cultural communication helps in understanding the behavior of people in organizations and around the world which shows how people work in organizations with employees, clients belonging from different cultures [1]. Conflict resolution between two or more parties in a mutually agreed manner and where all parties receive benefits is referred to as 'negotiation'. Negotiation brings positive results to all parties involved; that is why it has been widely used throughout the world.

The world has transformed into a shared market and a market is always in a dire need negotiation Salacuse [2]. While dealing with such types of business transactions, misunderstanding due to language and cultural barriers can arise easily. Knowledge about business terms is not enough; instead, knowing about the cultures, values, and beliefs are equally important to eliminate communication barriers. In international negotiations, the challenge is now effectively managing differences across cultures and dealing with the different

expectations of the parties involved in negotiations. Therefore, leading negotiation events does not only involve the outcome distribution of a particular bargaining session but also managing context, socio-cultural protocols, and etiquette.

2. Negotiation

Negotiations have been investigated as cross-cultural interactional events [3]. A process of resolving conflicts in a way where both parties agree upon mutual benefits called negotiation [1]. It can be transactional (i.e. day to day sales and purchase deals) and focused on conflict resolution. Effective cultural communication is key to establishing trust; Cross-cultural communication includes verbal and nonverbal communication. Verbal communication involves preferred language and dialects, contextual use of the language, preferred greetings, voice volume and tone, health literacy, and the need for interpretation and translation. Nonverbal communication is just as important as verbal communication and encompasses temporality, acceptance of touch, degree of eye contact, facial expressions, and spatial distancing. Sign languages, of which there are numerous ones, are a combination of verbal and nonverbal communication. All these are components that can help successful communication [4].

Preparation is the initial stage of negotiation. It includes a firm knowledge regarding behaviors of the counterpart, a survey regarding the market price of the relevant product, rehearsals before going for negotiation and knowing about the prior interest of the principal negotiating party [5]. Negotiators are thus required to research those stakeholders who are primary and secondary to the issues on the table for negotiation and duly consider their concerns and interests Artinger *et al*. [6]. This research shows that the relative success of different strategy factors against different types of opponents in different environments. Therefore, we can determine the most successful strategies and see how and when these strategies evolve depending on the context and negotiation stance of the agent's opponent.

An inclusive and integrative approach to negotiating a deal is more effective and desirable for achieving long-term relationships and alliances than merely pushing for an exclusive and distributive approach while ignoring significant beneficiaries of the outcomes of negotiated agreements.

2.1 Stages of Negotiation

Before moving to the negotiation process, select an appropriate strategy. Following are the four stages that identify negotiation process:

2.1.1 Orientation and Positioning

Orientation is the process of introducing each other and exchanging pleasantries in the first meeting Wise & Noble [7]. Positioning is the term for stating what one's offering on the negotiation table by either party [8]. During the time of negotiating, the negotiators together are creating a commonly significant thing wherein their thoughts, opinions, attitudes, and values are tested, adapted, and developed through interaction. Strategically planning the negotiating language is desired to avoid coincidences and choose the most appropriate means to achieve its objective. The strategy of negotiating communication, it is aggregate applicable tactics and actions in the negotiator's speech, which are related to behavior prediction of the other side of the negotiations and overcoming resistance or confrontation to attain the desired purpose of speech [9].

2.1.2   Argumentation

When a conversation is an argument and when it is a negotiation? Van & Krabbe [10] Although both arguments and negotiations try to resolve conflicts, there are differences. Merriam-Webster defines an argument as "a): reason given in proof or rebuttal and b): discourse intended to persuade." Gibbons *et al.* [11]. The argument in the negotiation does not mean to demotivate or coerce anyone, but it simply tries to clarify their position and to understand the position of others. That is why such issues related to transactions can simply be resolved by negotiation. Van & Krabbe [12] Generally, in an argument, one side is trying to persuade the other that there is one correct way to view a situation. That side will work hard to convince the other side of the validity of the argument, and the arguments will therefore escalate several times.

2.1.3   Emergence and Crisis

The terms 'crisis' and 'disaster' are often used synonymously. They are clearly related. Both deal with events that belong in the 'un-ness' category: unexpected, undesirable, unimaginable and often unmanageable situations Hewitt [13]. Planning for a crisis, particularly in international negotiations, can help negotiators develop strategies before a crisis essentially emerges. The business leaders in both face negotiations in which the traps are many and good advice are scarce [14]. We call these "dangerous negotiations" meaning not that they are necessarily aimed at solving an immediate life-and-death crisis but that the stakes involved put intense pressure on a leader. This is the stage where parties get an idea of whether they can proceed for further argument or not.

2.1.4   Agreement or Breakdown

The final stage is where parties either become a success or a failure with negotiation. Khan & Baldini [15] point out it is necessary to create a win situation for negotiation where both parties get benefits rather than taking a conflict. The argument should support each other's interests and establishes a long-term flexible relation for future dealings. Winham & Bovis [16] findings

suggest that the process of negotiation is important in its own right in predisposing negotiators to accept a settlement, particularly where uncertainty or controversy exists over negotiating objectives. Göller & Hewer [17] show that this assumption holds critical importance by demonstrating that a complete breakdown of negotiations may occur as the unique equilibrium outcome, even if only two sellers are present.

3. Culture

The way a culture socializes an individual defines their perceptions of themselves and the manner they interact with others [18]. It can be defined as collectively learn meanings, shared values, norms and beliefs and practiced by the whole society. When negotiating with delegates from different countries, cross-cultural communications play an important role. Culture differs from one another, which influences the style, the time, and the course of negotiations. If distorted, cross-cultural communications may weaken a company's position in the market, prevent it from accomplishing its objectives, and ultimately lead to failure of negotiation [19].

Culture, in short, "rests on shared meaning, permitting members of a group to perceive, interpret, evaluate, and act on and in both external and internal reality" Cohen & Cohen [20]. This is one of the reasons, negotiation is more successful in the social-cultural environment, as negotiation is greatly affected by the way of negotiator's actions, behaviors, perception, and communication (verbal and nonverbal) during the process of negotiation Ebner [21]. Suitable responses as per requirements appreciate interests, understanding cross-cultural norms and respect cultural differences is an integral part of doing a winning international business transaction [20].

Negotiation is a communication process by which two or more interdependent parties resolve some matter over which they conflict. Ahammad [22]. Several studies report that national culture has an important influence on how people interact with others. In cultures that are characterized by large power distance, centralization of communication is popular, whereas, in small power distance cultures, decentralization is popular. Theory of communication and cross-cultural adaptation Kim [23][24] can make communication more successful. Kim's theory offers a "big picture," a broadly-based and systemic insight into what happens over time when someone crosses-cultural boundaries and what factors facilitate or impede his or her adaptation to the host culture. At the core of this broad conception of cross-cultural adaptation is the goal of achieving an overall "fit" between an individual cultural stranger's internal conditions and the conditions of the host environment.

Trade barriers are declining and businessmen from various geographies communicate and conduct business across the world. Yet, not all the parties to business deals are from the same culture. Culture is the collective programming of the mindsets of a group of people. Purnell

[4] wrote culture is also an identity that differentiates a group of people from other groups regarding customs, values, characteristics, manners, communication styles and religion.

3.1 Cultural Dimensions

Following are four major cultural dimensions that widely affect the negotiation process:

3.1.1 Individualistic versus collectivist cultures

Aim of individual culture is the promotion of personal happiness and welfare where individual interest in prior over collective interest [25]. It values self-independence rather sympathy or loyalty to others.

In contrast, collective culture supports and promotes the social well-being and welfare of masses. It values collective efforts and strength that protect them and demand loyalty in return. Culture is a defining feature of global business. One can regard it as what remains when that which has been learned is wholly elapsed.

Different cultures embody specific value or thoughts or ideas that they view as important. Values play a central role in determining if a culture is individualistic or collectivistic. In the business world, it is important to understand how values have a direct influence in the communication process. Collectivistic cultures support the belief that the group is more important than an individual. In business, collectivistic cultures look for group harmony and decision making [26].

3.1.2 Hierarchical versus Egalitarian Cultures

The status of an individual and a position, social power which he possesses is a permanent feature that remains unchanged in hierarchical culture. Weight age to status is highest in society Karami & Dubinsky [27]. Social inferiors are expected to obey the commands of superior ones. High-status peoples are assumed to protect the rights and interests of inferiors. In such societies, conflict arousal is minimum as people rarely challenge authority.

In respect to egalitarian culture, equality is practiced in society. People depend less on superiors and they have more rights and independence to make their own decisions and stand for themselves. Social boundaries do exist, but people are permitted to exchange their views and mingle among each other. Here, people are independent and free to challenge authority.

3.1.3 Direct versus Indirect Communications

Content is the matter of interest in direct cultures rather than focusing on the context. What is specified is important while it is less applicable to how, when, or when it is mentioned. Direct

information is the transfer of communication without the use or consideration of non-verbal gestures. Individualistic societies practice this type of communication.

On the contrary, in indirect societies, the context of information is even more important than the content itself. Translations of messages are implicit, and accurate or literal communication is elusive. Such communication is prevalent in collectivist cultures and also in societies where there are close personal relationships between family and friends, colleagues, etc.

3.1.4 Monochromic versus Polychromic Cultures

Time management is an important aspect of society that has been carefully considered in monochromic cultures. Keeping on time is very important and schedules are strictly followed. Nature of relation does not affect the time strictness [28].

Whereas time is an unlimited resource in polychrome cultures, people view time as flexible, and schedules can be adjusted at the very last minute. Such time culture is closely linked to personal relationships. People from different cultures view and use time differently. Polychronic time orientation refers to the cultures where people tend to view time as a fluid concept go with the "flow" of the time. For example: In polychromic cultures, it is more acceptable for a meeting to continue until everyone feels the discussion has come to a natural conclusion. Monochronic time orientation refers to the cultures that set their tasks to a clock. Punctuality and single focus in a given timeframe is the norm for monochronic cultures. For example in monochronic cultures people will be more inclined to end a meeting "on time: and attend to the next task on the schedule.

3.2 Culture Variables

Various cultural variables exist that can hinder in the process of negotiation [2].

3.2.1 Greetings

The proverb, "The first impression is the last impression" is why people prefer to meet in person first before the negotiations. Greetings helpful to communicate the message and establishes the relations between patties that enable them to understand each other's aims. It also affects the judgment and decisions of the parties. Basics of all cultures are the same as all cultures are practiced by humans and humans are universally the same, so we can say that due to common features, universal cultural exists, however, the way we express our culture varies Zhu [29]. Due to this variation, conflict may arise either from lack of understanding or from cultural barriers.

3.2.2 Negotiating Styles

As negotiation is itself a battle of strong arguments, concrete facts and figures to reinforce one's position must be paired with good strategy and smart tact. In order to be the winner at the negotiating table, it is necessary to have an appropriate, respective style of negotiation.

The beauty of negotiation is equal or near equal membership of the other bargaining group. If this is not the case, the lesser party will either feel insulted, insulted or have doubts about a shared membership [20]. There are times when there is need to negotiate more informally. At such times, when a difference of opinion arises, it might not be possible or appropriate to go through the stages set out above in a formal manner.

3.2.3 Attitudes to time

Time is an integral factor of a culture and its perception is also different in different cultures. There are wide differences that exist in people's views about time. Ahammad et al. [30] suggested "The Americans, typical of western cultures in general and industrialized societies in particular, view time as unilinear, so activities need be scheduled. They view time as valuable, as a commodity, a thing that can be saved, spent or wasted. They budget their time as they budget their money. Hence their saying 'Time is money'. They don't like to be kept waiting. They would often rush into a business and their impatience is often exploited, esp. by the Japanese.

In the Middle East, Arabs typically lack a strict sense of time. The punctual Americans who insist on the meeting of deadlines will surely be left waiting. However, once a businessperson is finally invited into the Middle Easterner's office, the interview will last as long as necessary to transact the business, even though the next visitor may be kept waiting for what might seem an interminable time. The Chinese look upon time as elastic, which can be stretched or contracted depending on the circumstances." Punctuality is not important, long delays are sometimes necessary before taking action. As the Chinese saying goes "Think twice before you act", however, twice could be prolonged in their term [2].

3.2.4 Gift giving customs

Gift giving is an integral part of conducting business both domestically and internationally. Gifts may be a symbol of respect, affection, or appreciation. It can help to strengthen relationships if it is done properly in the recipient's culture. Though "in some cultures, gifts are expected, and failure to present them is considered an insult, whereas in other cultures, offering a gift is considered offensive" [31]. "Japan is famous for its custom of giving a gift. To strengthen business relations, exchanging gifts is considered an integral part of Japanese culture.

"Gifts are usually exchanged at the first meeting. When presented with a gift, companies are expected to respond by doing the same in return" [32]. In China, gift-giving customs differ from British people. While visiting someone, you should take the gift, whether wrapped or not. "When you give it to the host upon leaving, he would say "No" and decline it before accepting, try to persuade visitors not to bring anything next time. It is impolite to open the gift before the guest or appear happy" [33].

Usually, the host is expected to give something in return at the same time. "But in the English-speaking countries, your well-wrapped gift should give to the host just after arriving, the host accepts it by saying "thanks", and tries to convince you that he like the gift very much. With happiness, he opens the gift and pays a compliment." Sometimes gifts are offered in the wishes of creating a positive, first impression which might help to establish an initial business relationship. At the end, giving may be perceived as a *quid pro quo* (i.e. returning a favour or expecting a favour in return for something [34].

3.2.5 *Significance of gestures*

All over the world body language is used to convey messages as it is a powerful communication device. Many expressions in nonverbal communication or gestures are common around the world and have the same interpretation. For example, locking ankles and locking arms are the symbol of anxious, tension, and defense [15]. Similarly, "touching nose with index finger means that someone doesn't like what he is hearing, rubbing hands together means anticipating something good is about to happen" [35].

While somebody's language is universal, some are culture specific. There are many different interpretations of certain body gestures in different cultures. For a successful negotiation, it is important to consider these non-verbal gestures [1]. Following are some of the nonverbal gestures practiced in different countries: "The American symbol for "OK" or "Everything is right" is made by forming a circle with the thumb and index finger. In other cultures, it may mean zero, as in France; money, as in Japan; or be a sign of vulgarity, as in Brazil. A familiar symbol of victory may be an insulting sign in parts of Europe Khan and Ebner. In China, Japan, and some other parts of the world, this motion may mean simply that the person hears what is said, not that they agree with the speaker. In Bulgaria, a nod means "No", and a side-to-side shake of the head means "Yes". The Chinese like to touch a child's head to show affection, but in Arab countries and Thailand, it is offensive, as the head is considered most sacred" [36].

At the end, nonverbal communication plays an important role in international business negotiation and the proper application of nonverbal language is one of the keys to the successful business negotiation. Nonverbal communication is closely connected with culture. To be an

effective business negotiator, one should have full knowledge of nonverbal language in different culture so as to act and respond in a proper way.

4. Cross-Culture Communication Strategies

Cross-cultural communication plays important role in effectively developing the different stages of negotiations such as being prepared, understanding the interest of different negotiating parties, and understanding the consequences of the failure of negotiation [18]. To secure a favorable position in the business world, executives have become growingly aware of the important roles of cross-cultural communications Huang [19]. Understanding culture is the key factor in the process of cross-cultural negotiation. Identification and understanding problems are the first steps towards negotiation and the judge the behavior of another party, their motive and their interests [1].

5. How to Deal with Cross-cultural Problems in International Business Negotiation

Cross-cultural negotiation is a great challenge, as not only the problem is a matter to address but the behavior, culture, norm and beliefs are must be handled simultaneously Corne [37]. To deal with them properly and successfully, some of the strategies are discussed as follows.

5.1 Preparation

Preparation of background knowledge and rehearsal are an integral part of negotiation. This creates a level of respect and trust for the other party that can bring successful results to negotiation. Through knowledge and preparation, one is enabled to pick the right style and strategy [38]. "Understanding the nuances and taboos and avoiding them will smoothen out the negotiation process" [7]. Leaving a long-time frame for the negotiation is an important aspect of negotiation especially in cross-cultural negotiation meeting and agreements which often require between two to six times a normal negotiation period to reach a final decision. [11]

5.2 Avoid Stereotypes

Stereotyping and misconception create barriers that do not allow a person to think, judge and decide neutrally. In order to make cross-cultural negotiation a success, one must be aware of but think beyond such biases and errors.

Stereotyping is a common and frequently baseless error. Inaccurate assumptions will create distrust and barriers which negatively affect the goals of both parties. Treat everyone as individuals rather than treating them in general [1]. Try to discover the other side's beliefs and values free from those of the culture being represented.

5.3 Agent/Interpreter

To remove communication barriers, hiring of a local agent or interpreter is often practiced. This is helpful in situations where a wide knowledge of cultural, norm, and beliefs are required. Khan & Baldini [15] assert that this approach has its pros and cons. The interpreter helps to facilitate comprehension and mutual understanding but the issues of ethics have always attended interpreting, sometimes practitioners will often be privy to complex or highly privileged information – whether related to national security, sometimes personal trauma or difficulty, or sensitive business negotiations [39].

5.4 Discover New Ways to Bridge Cultural Gaps

The approach of combining cultures (i.e. focus on the norms of a common professional culture) is a successful practice of negotiation. A survey carried out by Salacuse [2][27] suggests that "professional culture may be as strong as national culture in influencing a person's negotiation style." The impact of this study, if true, will be that when faced with a cultural difference at the table, negotiators from different cultures but similar professional backgrounds may rely on the norms of their professional culture in trying to bridge the cultural gap between them. Finally, when going for a cross-cultural negotiation, a good negotiator needs to be relaxed [40].

Research must shows openness towards meeting the other party. Ability to apologize if he says or does something that is out of place and continuing to show a strong desire to proceed with the negotiation are positive characteristics for the process" Kim [23]. To encourage good communication, warm and healthy gestures with a desire to initiate conversation are required. This may lead to a successful negotiation.

6. Conclusion

In this paper, the author presented the issues related to cross-cultural communication on business negotiations. There is no single, perfect approach or way to resolve a dispute in the negotiation process. In order to resolve such conflicts, negotiators must have analytical skills, the right strategy to use in an appropriate manner, as well as optimal tactics, facts and figures, following a thorough analysis of the needs and objectives of the other party in this situation. While dealing with cross-cultural negotiations, appropriate strategies and styles must be applied while at the same time practicing the required form of negotiation and showing respect for all cultures involved. Success is encouraged by focusing on mutual interests rather than on issues. The performance in talks is closely linked to planning, awareness and practice in the right way. Research on related culture is an integral part of the preparation process. Only effective preparation makes it possible for a party to understand what the interest is, style and strategy practiced on the other side of the table. Respecting each other's culture and considering personal manners will make the negotiation process easier and more understandable. As a result, it

ultimately delivers successful results, a win-win situation, and long-lasting business relationships.

We hope that this paper will shed some light on cross-cultural interactions and communication patterns. According to this research, negotiation skills can be transferred to many situations where they are used properly. In summary, although negotiations vary dramatically across people and their cultures, but the basic principles of negotiation are universal.

7. Reference

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CEO Characteristics and Firm Financial Performance: A Study on Thai Public Companies listed on the Market for Alternative Investment (MAI)

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Abstract

This study examines the influence of CEO characteristics on firm financial performance through five measures: gender, age, educational background, ownership and experience. Firm financial performance is measured by the profitability indicators which include ROA, EPS, ROE and profit to sales ratio. Its aim is to find out certain characteristics having significant effect on financial performance. The study uses Thai listed companies on the Market for Alternative Investment (MAI) as the unit of analysis and collects all data from a 56-1 form of 147 listed companies in the website of the Stock Exchange of Thailand. The statistics for analysis are descriptive statistics (percentage, minimum, maximum, mean and standard deviation values) and inferential statistics (independent sample t-test and F-test (One-way ANOVA). The results show that in terms of CEO characteristics, the difference in ownership and experience make firm financial performance different with a significant statistic of 0.05. This implies that CEO ownership and experience are likely to be important factors to enhance and improve the efficiency of financial performance of Thai public companies listed on the MAI.

Keywords: CEO Characteristics, Financial performance

1. Introduction

The CEO is the chief executive officer of the company appointed by the board of directors and shareholders. He or she has a duty and responsibility to set strategies for managing the company according to the board of directors' policies (Kaplan et al., [8]). Every year, his operations are expressed in the form of financial performance (Wu et al., [15]). Several previous studies document that the CEO and his leadership are very important to the business and firm performance and indicate that differences in CEO Characteristics cause business to have the difference in financial performance. Saidu [13] and Kokeno [10] find that CEO education, age, ownership and experience are significant factors on profit performance (return on assets -ROA and return on equity -ROE). Diks [2]'s results discover that the difference in age and gender of CEO make the difference in firm performance as measured by Tobin's Q. Kaur and Singh [9] also find that the greater the CEO share ownership, the higher the firm financial performance

as measured by return on assets (ROA) and return on equity (ROE). It can be seen that the previous studies describe the influence of CEO characteristics through individual measures namely gender, age, education background, and share ownership.

Therefore, it may be said that if a business knows the key characteristics of a CEO making a company successful, it will be useful for companies in selecting people to become CEOs. Such benefits draw the attention of doing new research. It is interesting to conduct a new study in Thailand to examine whether the characteristics of CEO have a significant impact on the company performance and which of them matter in the terms of financial performance. This study intends to find out answers to those questions in order to complement past studies and to contribute to the literature. The study focuses on significant CEO characteristics from previous studies (gender, age, education and ownership) and increases the CEO experience as another feature that should be important to financial performance. In addition, the consideration of financial performance is not limited to the types of ROA and ROE, but also consider a wide range of indicators which are Earnings per share (EPS) and profit ratio (profit to sales). Moreover, the study of CEO characteristics and financial performance in Thailand helps to increase the results of prior investigations to businesses in emerging economies in Asia which are important economic areas today.

2. Objective of the study

The objective of the study is to determine whether different CEO characteristics result in differences in financial performance. The characteristics of the CEO in this study are independent variables consisting of gender, age, education, ownership and experience, while financial performance is the dependent variable measured by ROA, EPS, ROE and profit ratio.

3. Literature review **and hypothesis development**

3.1 CEO gender and firm financial performance

Gender differences between men and women can be classified as the differentiation of roles, attributes, attitudes and behaviors which may result in managing their business differently (Kusumastuti et al. [11]). Does gender diversity in CEOs have a different impact on performance? The study of Kaur and Singh [9] find that female CEOs are negatively related to firm performance as measured by ROA and ROE. Fujianti [4]'s study does not find a significant effect of gender difference on the price to book value (PBV) as a proxy of the company performance. He states that women as the top manager has not been able to play a role in achieving company performance in Indonesia. However, the results of Diks [2] in America show that female CEOs can improve the value of large companies but it is not statistically significant. Ernestine and Setyaningrum [3] discover that CEO gender does not affect firm financial performance as measured by Tobin's Q. Their results suggest that male and female

CEO and firm performance need to be studied more as it is not yet clear in the findings. Hence, the hypothesis 1 (H$_1$) is as follows:

H$_1$: Differences in CEO gender make financial performance in each firm different.

3.2 CEO age and firm financial performance

Age difference between young and old CEOs can cause differences in business management efficiency and financial performance. The studies of Baccar et al. [1] and Horvath and Spirollari [7] indicate that the older CEOs may be more rational when making decisions than the younger CEOs. However, the older CEOs are less likely to bring up new ideas and lack of change in business while the younger CEOs are more innovative and willing to takes risks. The results of Diks [2] and Earnestine and Setyaningrum [3] also confirm that CEO age is negatively related to firm performance as measured by Tobin's Q. On the contrary, the studies of Kokeno [10] show that CEO age has a positive and significant effect on firm performance which means that the older CEOs can lead company better. However, there are some studies finding that the CEO age is the insignificant factor on firm performance (e.g. Garcia-Blandon et al. [5]. Hence, the hypothesis 2 (H$_2$) is as follows:

H$_2$: Differences in CEO age make financial performance in each firm different.

3.3 CEO education and firm financial performance

CEO education in this study is divided into four categories - below bachelor degree, bachelor degree, master degree and PhD. Prior studies suggest that the educational background of the CEOs may influence CEO behaviors, which, in turn, influences performance and social capital of CEO. It may affect the cognitive ability, which, in turn, affect firm performance (Fujianti, [4]; Kokeno, [10]; Garcia-Blandon et al. [5]). Kokeno [10]'s study finds that the level of CEO education has a significant effect on firm performance because CEOs, who are well educated, have capability to choose the best financial instruments and thereby maximize firm performance. Garcia-Blandon et al. [5] also state that CEOs with higher degree tend to perform better and show significantly higher performance. However, the study of Fujianti [4] illustrates that the level of CEO education is less likely able to significantly influence financial performance (price to book value – PBV). His study is in line with Mohamed et al. [12] and Earnestine and Setyaningrum [3]. Hence, the hypothesis 3 (H3) is as follows:

H$_3$: Differences in CEO education make financial performance in each firm different.

3.4 CEO ownership and firm financial performance

CEO ownership is defined as the percentage of common shareholdings of the CEO in the firm.

Griffith [6] finds the different level of CEO ownership having a significant influence on financial performance as measured by Tobin's Q. His results show that Tobin's Q rises when the CEO owns between 0 and 15% of the firm, then declines as CEO ownership increases to 50%, and rises again thereafter. Saidu [13] also examines the impact of CEO ownership on financial performance as measured by ROA, ROE and stock price. His findings indicate that CEO who takes part in ownership of the business can improve firm performance significantly. Kaur and Singh [9] find that CEO share ownership is positively associated with Both ROA and ROE as proxies of financial performance of the firm. Hence, the hypothesis 4 (H_4) is as follows:

H_4: Differences in CEO ownership make financial performance in each firm different.

3.5 CEO experience and firm financial performance

CEO experience before taking the CEO position is critical because CEOs with years of experiences in business operations reinforce them to be more effective in leadership and making decisions with discretion and accuracy (Sitthipongpanich and Polsiri [14]). CEOs with high experiences can improve profitability of the firm (Fujianti [4]). The study of Saidu [13] also shows that firm performances as measured by ROA and ROE improve when the CEO has prior experiences before his appointment as the CEO. Past studies confirm the significant impact of prior CEO experience on firm performance. Hence, the hypothesis 5 (H_5) is as follows:

H_5: Differences in CEO experience make financial performance in each firm different.

4. Research framework and methodology

4.1 Conceptual research framework

From literature review and hypothesis development in Topic 3, the conceptual research framework can be defined as follows:
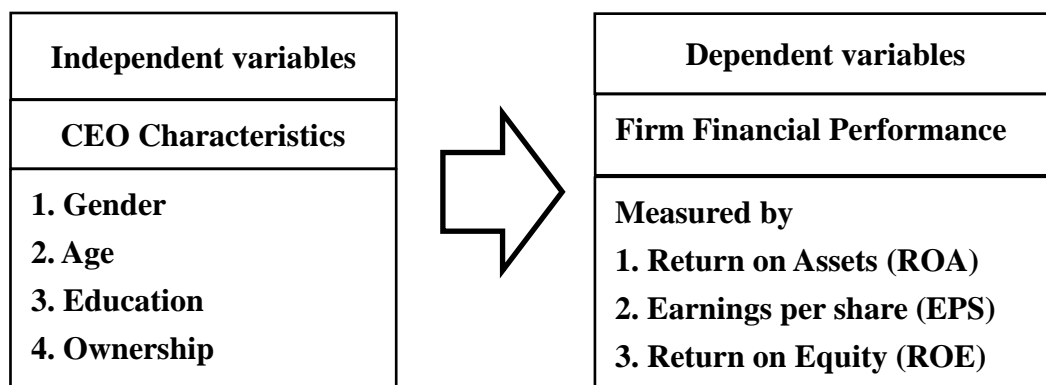
Figure 1: Conceptual research framework

4.2   Methods

Population and sample – Population in this study is Thai public companies listed on the Market for Alternative Investment (MAI) of the stock Exchange of Thailand. A total of 147 companies having the complete data is the sample of the study.

Data collection - The study gathers data both the characteristics of the CEO (gender, age, education, ownership and experience) and firm financial performance (ROA, EPS, ROE and profit ratio) for the financial year 2018 from a 56-1 form of each company on the website of the Thai Stock Exchange.

Statistics for analysis – The study employs two statistics for analysis. First, descriptive statistics, which include frequency, percentage, minimum, maximum, mean and standard deviation, are used to explore the characteristics of independent and dependent variables. Second, independent sample t-test and f-test one way ANOVA are utilized to test research hypotheses.

5. Findings

5.1   CEO Characteristics

There is a total of 147 CEOs of Thai listed companies in the MAI that have completed data for analysis. The details of CEOs in terms of gender, age, educational background, ownership and experience are shown in Table 1.

1. CEO gender - Most of the CEOs are male with 85.70% and 14.3% are female.

2. CEO age - age group of 51-60 are the most with 47.60%, followed by 41-50 years old (30.60%), 61-70 years old (10.20%), 30-40 years old (9.50%), and more than 70 years old (2%).

3. CEO education - Master degree are the most with 49%, followed by Bachelor degree (39.50%), below Bachelor degree (6.80%) and PhD (4.80%).

4. CEO ownership -Proportion of shareholdings in total shares that shows ownership less than 10% are the most with 59%, followed by 11-20% (15%), 21-30% (10.20%), more than 50% (7.50%), 31-40% (6.80%), and 41-50% (1.4%).

5. CEO experience - Experience between 11-20 years are the most with 41.50%, followed by 0-10 years (29.90%), 21-30 years (24.50%), and 31-40 years (4.10%).

Table 1 Percentage of CEO Characteristics of Thai listed companies on the Market for Alternative Investment (MAI) in the year 2018

	Frequency	Percent
1.Gender		
Male	126	**85.7**
Female	21	14.3
2.Age		
30 – 40 years	14	9.5
41 – 50 years	45	30.6
51 – 60 years	70	**47.6**
61 – 70 years	15	10.2
More than 70 years	3	2.0
3.Education		
Below Bachelor Degree	10	6.8
Bachelor Degree	58	39.5
Master Degree	72	**49.0**
PhD	7	4.8
4.Ownership (Proportion of shareholding in total shares)		
Less than 10 %	87	**59.2**
Between 11-20 %	22	15.0
Between 21-30 %	15	10.2
Between 31-40 %	10	6.8
Between 41-50 %	2	1.4
More than 50 %	11	7.5
5.Experiences		
0 – 10 years	44	29.9
11 -20 years	61	**41.5**
21 – 30 years	36	24.5
31 - 40 years	6	4.1

Note: N=147

5.2 *Financial performance*

Table 2 shows the findings of the descriptive statistics of firm financial performance of Thai listed companies on the Market Alternative Investment (MAI) in the financial year 2018. They are minimum, maximum, mean and standard deviation values of financial performance (ROA, EPS, ROE, and profit ratio).

1. The minimum value for ROA is -41.56% and the maximum ROA is 33.46%. The mean value of ROA is 3.92% with a standard deviation of 12.21%.

2. The minimum value for EPS is -7.86 Baht and the maximum EPS is 9.29 Baht. The mean value of EPS is .13 Baht with a standard deviation of 1.12 Baht.

3. The minimum value for ROE is -126.38% and the maximum ROE is 52.19%. The mean value of ROE is -0.77% with a standard deviation of 29.76%.

4. The minimum value for profit ratio is -164.44% and the maximum profit ratio is 49.27%. The mean value of profit ratio is -0.06% with a standard deviation of 26.75%.

The results show that the high negative minimum value of financial performance as measured

by ROA, EPS, ROE and profit ratio may be due to the economic recession in Thailand. However, the mean values of some indicators are positive, and the maximum values are very high. These mean that some of these companies still have good values of financial performance.

Table 2: Descriptive statistics of firm financial performance of Thai listed companies on the Market Alternative Investment (MAI) in the year 2018

Financial performance	N	Minimum	Maximum	Mean	Std. Deviation
ROA	147	-41.56	33.46	3.93	12.21
EPS	147	-7.86	9.29	.13	1.12
ROE	147	-126.38	52.19	-.77	29.76
Profit ratio	147	-164.44	49.27	-.06	26.75

Note: ROA=Return on assets (percentage of earnings after tax divided by total assets), EPS=Earnings per share (earnings after tax divided by total number of common shares), ROE=Return on equity (percentage of earnings after tax divided by total equities), profit ratio=percentage of earnings after tax divided by total sales.

5.3 The results of hypothesis test

In Table 3, the results of hypothesis test between CEO's characteristics and financial performance of Thai public companies listed in the Market Alternative Investment (MAI) by using independent sample t-test and F-test (one way ANOVA) at 95% confidence level are shown as follows.

1. CEO gender and financial performance - The result of comparing means of financial performance of each gender group can be concluded that the CEOs who have different gender do not affect financial performance with differently significant. The results of the analysis reject hypothesis 1 that differences in CEO gender make financial performance in each firm different.

2. CEO age and financial performance - The result of comparing means of financial performance of each age group can be concluded that the CEOs who have different age do not affect financial performance with differently significant. The results of the analysis reject hypothesis 2 that differences in CEO age make financial performance in each firm different.

3. CEO education and financial performance – The result of comparing means of financial performance of each educational background group can be concluded that the CEOs who have different education do not affect financial performance with differently significant. The results of the analysis reject hypothesis 3 that differences in CEO education make financial performance in each firm different.

4. CEO ownership and financial performance - The result of comparing means of financial performance of each ownership group can be concluded that the CEOs who have different ownership affect financial performance with differently significant. To further analyze multiple comparison of performance mean of each ownership group by using LSD statistics. The study finds that ownership group between 41-50% of total shares are significantly different ($p<0.05$). The results of the analysis accept hypothesis 4 that differences in CEO ownership make financial performance in each firm different.

5. CEO experience and financial performance - The result of comparing means of financial performance of each period of experience group can be concluded that the CEOs who have different years in experience affect financial performance with differently significant. To further analyze multiple comparison of performance mean of each period group by using LSD statistics. The study finds that experience group between 0-10years, 11-20 years and 21-30 years are significantly different ($p<0.05$). The results of the analysis accept hypothesis 5 that differences in CEO experience make financial performance in each firm different.

Table 3: The results of hypothesis testing about CEO's characteristics and financial performance of Thai listed companies on the Market Alternative Investment (MAI) by using independent sample t-test and f-test one way ANOVA

CEO's characteristics	Financial performance as measured by			
	ROA	EPS	ROE	Profit ratio
Gender	.175	.136	.405	.250
	(.676)	(.712)	(.526)	(.618)
Age	1.597	1.046	1.611	.528
	(.178)	(.386)	(.175)	(.715)
Education	.689	.357	.445	.096
	(.566)	(.784)	(.721)	(.962)
Ownership	2.069	8.442	2.513	5.155
	(.073)	(.000)*	(.033)*	(.000)*
Experience	3.374	1.252	3.845	2.168
	(.020)*	(.293)	(.011)*	(.094)

Note: The values in the table are F values and the values in parentheses are P values at 95% confidence level. * = p value < 0.05 which is statistically significant at the 0.05 level.

6. Discussion

This study examines the key characteristics of CEOs, which, in turn, make each business different in its performance. When comparing the results of the study with the findings of past studies, the similarities and differences are as follows:

1. CEO characteristics - The analysis of descriptive statistics shows that most CEOs of the Thai listed companies on the MAI stock market are men, age 51-60 years, graduate Master's Degree, hold common shares less than 10 percent, and have experience between 11-20 years. This finding is consistent with Diks [2]'s research in America that CEO gender is not significant as the most CEOs sample data collected in the year 2016 are men. This is consistent with the Saidu[13]'s research that the most of CEOs data in his sample gathered during the year 2011-2016 are older men with high experience and possess an average of 10% ownership. Saidu [13] conducts his research in Nigeria, a country known as an emerging economy as well as Thailand. In addition, there are also similarities and differences with Kaur and Singh [9] which conduct their research in India, a country in Asia like Thailand, during the years 2012-2016 and find that most of the CEOs in sample are men, graduated with both bachelor and master degree and have high experience. It can be seen that CEO characteristics regarding gender, age and education in many countries are similar.

2. Firm financial performance – The study utilizes four profitability indicators namely, ROA, EPS, ROE and profit ratio as measurements of firm financial performance. The descriptive statistics show the financial performances of 147 Thai listed companies on the Market for Alternative Investment (MAI) as follows: The maximum values of ROA = 33.46%, earnings per share = 9.29 baht per share, ROE = 52.19% and the profit ratio = 49.27% are very high while their minimum values are negative, resulting in their average values being quite low and negative. That is the mean values of ROA = 3.93%, EPS = 0.13 Baht per share, ROE = -0.77%, profit ratio = -0.06%. When comparing financial performances with past studies in other countries, the performances of sample in Thailand are somewhat lower than other countries. Such as, the average values of ROA and ROE equal to 8.35% and 16.35% respectively in the study of Kaur and Singh [9] and the average values of ROA and ROE = 3.78% and 4.52% respectively in the study of Saidu [13]. In addition, it has been found that previous studies favor the use of Tobin's Q ratio as a representative of firm performance (e.g. the studies of Diks [2], Ernestine and Setyaningrum [3] and Garcia-Bladon et al. [5]). On the contrary, the study attempts to employ the new indicators of profitability which are EPS and profit ratio as proxies of the firm financial performance. Evidence from the results of this study confirms that they are significant measures in analysis.

3. The results of hypothesis test – As can be seen, CEO gender, age and education in this study are insignificant factors on firm financial performance. Their differences are not statistically significant to the financial performance of each business. This is in line with the results of Diks [2]; Fujianti [4] and Kaur and Singh [9]. They find CEO gender, age and education insignificant to the firm financial performance. This is probably because there are women and young executives appointed as CEOs not much and higher education level not always guarantee

success in business. Therefore, they are not able to make a statistical distinction. This is not consistent with the results of saidu [13] which indicate that CEO education significantly improve profitability as measured by ROA and ROE. For CEO ownership and experience in this study, CEO ownership are statistically significant to firm performance as measured by EPS, ROE and profit ratio while CEO experience affects difference in financial performance as measured by ROA and ROE. This is consistent with the studies conducted by Fujianti [4] and Kaur and Singh [9]. Kaur and Singh [9] state that increasing in proportion of ownership spurs CEOs toward better firm management and then bring about higher firm financial performance. Fujianti [4] also explains that CEO experience is significant because CEOs with a lot of experiences enhance their competencies in making decisions and improving financial performance. This implies that CEO ownership and experience are likely to be important factors to enhance and improve the efficiency of financial performance of Thai public companies listed on the MAI.

7. Conclusion

This study examines the hypotheses that differences in CEO characteristics (gender, age, education, ownership and experience) can make financial performance in each firm different. The results show that only CEO ownership and experience are statistically significant to firm financial performance. CEO ownership makes difference in financial performance as measured by EPS, ROE and profit ratio while CEO experience makes difference in financial performance as measured by ROA and ROE. The findings would be useful for current business administration in selecting the right CEO. Future studies should consider other characteristics of CEO which may affect firm performance of public companies listed on the Stock Exchange, such as CEO insider and outsider, and CEO duality etc.

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The Impact of Psychological Capital on Employees' Voice Behavior: Based on the Mediating Role of Work Engagement and Organizational Commitment

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Abstract

In today's fierce competition, it is not feasible for a company to rely on the wisdom of its managers to develop the company. It also requires the wisdom of its employees to help the company move forward. Nowadays, the post-90s group has gradually become the core pillar of various industries. However, the post-90s group grew up in today's fast-developing and diversified society, with low working moods, improper attitudes, and impetuousness becoming synonymous with post-90s. This article will take post-90s Chinese employees as the research object, take psychological capital as the independent variable, and voice behavior as the dependent variable, and introduce two mediating variables of work input and organizational commitment, as well as two moderating variables of organizational support and work autonomy. The mechanism of the influence of psychological capital on voice Behavior. The expected research results of this study are as follows: (1) Psychological capital has a positive impact on speech behavior; (2) Psychological capital has a positive impact on work input; (3) Psychological capital has a positive impact on organizational commitment; (4) Work commitment has a positive impact on speech behavior; (5) Organizational commitment has a positive impact on speech behavior; (6) Organizational commitment has a positive impact on work input; (7) Organizational support has both psychological capital and work input Positively regulating the relationship; (8) Work autonomy plays a positively regulating role in the relationship between psychological capital and organizational identity.

Keywords: Psychological Capital、Voice Behavior、Organizational Commitment、Work Engagement

1. Introduction

1.1 The research Background

Nowadays, enterprises are in a complex and changeable environment. In today's fierce competition, it is impossible for enterprises to develop enterprises only by relying on the wisdom of the management, but also by the wisdom of employees, so as to maintain competitive advantages in the fierce competition. Therefore, the voice behavior of employees has become the norm to help the development of enterprises. Nowadays, more and more enterprise managers begin to seek the help of employees within the organization and pay attention to the

influence of the subjective initiative and creativity of employees within the organization on the development of enterprises. Nemeth and Staw [1] discovered it is important to give full play to the intelligence and wisdom of internal employees and promote their initiative in providing Suggestions for the development of the organization, which is conducive to the improvement of the organization's competitive advantage and sustainable development.

Today's post-90s employees are growing in material richness. In the era of economic globalization and the rapid development of information technology, their personalities, values, and working methods are special. Their joining has injected new blood and ideas into enterprises and organizations. With the addition of new batches of post-90s generations, they are gradually becoming the main force of social human resources, playing an increasingly important role in the workplace. However, under the influence of the reform and opening up and family planning policies of the post-1990s, thinking styles, emotional expressions, and psychological demands are clearly different from traditional employees, showing a diversity of characteristics. Since the post-90s employees are basically only children, the economic pressure is not great, and their life is limited. Their psychological adjustment ability is generally low and their psychological problems are frequent. Chen [2] discovered they are not strong in work autonomy, difficult to manage, highly dependent, and poorly able to withstand setbacks. Post-90s employees lack sense of responsibility and discipline, and have low loyalty to the organization; weak stress resistance and sensitive heart; strong motivation for achievement.

1.2 Research Purposes

(a) In order to effectively promote the behaviors of post-90s employees and improve their negative and negative behaviors, in order to inspire post-90s employees to actively plan for the development of the company, propose business strategies to improve the company, and help companies gain a competitive advantage today.

(b) Enrich and improve the theories of the relationship between psychological capital and voice behavior. This study combed through the literature to analyze the relevant theories, definitions, structures, and effects and mechanisms of psychological capital of Chinese post-90s employees. In particular, the article analyzes the relationship between post-90s employees 'psychological capital and variables such as voice behavior, organizational commitment, work commitment, work autonomy, and organizational support, in order to deepen people's awareness of employees' psychological capital and provide psychological capital theoretical research provides new ideas.

(c) Introducing and revising relevant foreign scales, taking Chinese domestic employees as survey objects, studying the influencing factors and internal mechanisms of employee voice

behaviors, and enriching relevant theoretical research on voice behaviors. At the same time, this article adopts the literature research method, questionnaire survey method, and relevant professional analysis software such as SPSS23.0, AMOS.23.0 to verify the mediating role of work engagement.

1.3 Research Problem

With the 90 employees into the community, but also gradually become the core pillar of each enterprise. If the enterprise wants to develop continuously and rapidly, it must innovate constantly, and the innovation of the enterprise needs the suggestion and opinion of the staff to improve continuously. Therefore, as an important force for the sustainable development of enterprises, the voice behavior of post-90s employees is of great importance to the development of enterprises and has been paid more and more attention by entrepreneurs and scholars. Based on the psychological capital of the post-90s employees, this paper studies the mechanism of the influence of psychological capital on advice behavior.

2. Literature Review and Research Hypothesis Development

2.1 Research Hypothesis

2.1.1 The Impact Of Psychological On Voice Behavior

Luthans et al. [3] discovered psychological capital is the individual's positive mental state. Huang and Luthans [4] studies have shown that psychological capital is closely related to many individual and organizational variables. Wilson and Darke [5] tend to suggest; optimistic individuals have strong expectations of the company's development in a better direction. This study proposes the following hypotheses：

H1: Post-90s employees psychological capital has positive influence on voice behavior

2.1.2 The impact Of Psychological On Work Engagement

Psychological capital, as a reflection of a positive psychological state of people, has an impact on employees' working attitudes. Employees with high psychological capital will have a more positive working attitude, thereby making their human capital and social capital actually create greater value. Previous research on various dimensions of psychological capital has confirmed that one of the criteria that meets the psychological capital dimension is to be "related to performance", The influence of work attitude variables such as work engagement. Keller [6] discovered job performance has also been confirmed, so psychological capital and employee work attitude should be related. Ling et al. [7] explored the relationship between manager's self-efficacy and managerial work attitude in the context of Chinese culture, and found that managers who have a positive attitude towards work show high job satisfaction and

commitment. Based on the above research conclusions, this paper proposes the following hypotheses.

H2: Post-90s employees' psychological capital has a positive impact on work engagement

2.1.3 The Impact Of Psychological On Organizational Commitment

Summarizing the literature, it can be seen that most of the scholars' research on the correlation between psychological capital and organizational commitment is based on western cultural backgrounds, using organizations members in western countries as samples. Larson and Luthans [8] studied 74 employees and found that employees' psychological capital was significantly positively related to their job satisfaction and organizational commitment. Avey, Patera and West [9] studies have shown that psychological capital and hope, optimism, tenacity, and self-efficacy are all negatively related to employee absenteeism. However, the research on post-90s employees in China as a special research object is still scarce. This article will further explore the relationship between the post-90s employees' psychological capital and their organizational commitments. Based on the above research conclusions, this paper proposes the following hypotheses

H3: Post-90s employee psychological capital has a positive impact on organizational commitment

2.1.4 The Impact Of Work Engagement On Voice Behavior

Whiting, Maynes and Podsakoff [10] discovered as a "challenge-promoting" behavior, Chang Jianyan's employees tend to get better performance evaluations. But at the same time, the behavior of suggestion will bring risks and be challenging, because it is guided by changing the status quo and optimizing the organizational structure through changes in procedures or rules within the organization, which will definitely harm the interests of those in power Further affecting their own interests, if employees have a high degree of involvement in the organization and have strong organizers, employees will be more likely to break through these dangers and dare to speak up. On the other hand, work engagement is a kind of positive work behavior. When employees are highly engaged in work, it will mobilize cognitive and emotional resources through the work they do, and they are more involved in work and more energetic. Wu,Gao,Duan [11] discovered the sense of efficacy is also stronger. In short, the employee's work engagement can promote his or her voice behavior through multiple channels. Based on the above research conclusions, this article proposes the following hypotheses.

H4: Post-90s employees work engagement has a positive impact on the voice behavior

2.1.5 The Impact Of Organizational Commitment On Voice Behavior

Regarding the related research on organizational commitment and employee voice behavior, Van Dyne *et al.* [12] pointed out that when researching out-of-role behavior and combing its concepts and frameworks, as an antecedent variable of employee speech behavior, emotional commitment may be One of its main influencing factors is the lack of empirical research to test this assertion. Meyer and Herscovitch [13] proposed the basic proposition of combination of commitments. As a risky and challenging behavior outside the role of employee voice is a conscious behavior, it is different from the core behavior of employees. Emotional and normative commitments have a positive impact on voice behaviors, and continuous commitment has a negative impact on voice behaviors.

H5: Post-90s employee organization commitments have a positive impact on voice behavior

2.1.6 The Impact Of Organizational Commitment On Work Engagement

After collating relevant literature, I found that domestic and foreign organizations often put together organizational commitment and work input for research. The research between them is mainly divided into two types. One is to use organizational commitment as an antecedent variable for work input. Research, the other is to use organizational commitment as a result variable of work engagement. Cohen and Kirchmeyer [14] show that there is a significant correlation between organizational commitment and work commitment; Demerouti *et al.* [15] also shows a significant positive correlation between work commitment and organizational commitment. Liang, Li, and He [16] conducted research on the dimensions of organizational commitment and the dimensions of work input. The results show that if emotional commitment can predict vitality positively, this study proposes the following hypotheses.

H6: Post-90s employee organizations promise to have a positive impact on work engagement

2.1.7 Moderating Role Of Organizational Support

According to the theory of social exchange and the principle of reciprocity, the sense of organizational support will cause employees to have a sense of responsibility that cares about the interests of the organization, a sense of obligation to help the organization achieve its goals, and a sense of belonging to emotional needs. Barksdale and Werner [17] discovered Organizational psychological pressure can promote employees to better perform in-role behaviors.

More care and support from the organization is an important reason why employees are willing to stay in the organization and work actively. Zhao and Li [18] discovered when employees face difficulties, they receive work support and emotional support from the organization. Thereby overcoming job burnout due to work stress. Eisenberger *et al.* [19] think increasing investment

in work, there by reducing turnover intentions. Based on the above research conclusions, this study proposes the following hypotheses:

H7: The sense of organizational support plays a positive role in regulating the relationship between psychological capital and work engagement of employees after the 90s

2.1.8 Moderating Role Of Work Autonomy

Work autonomy is an important situational variable, which has attracted the attention of many scholars. Different scholars have added work autonomy as a moderating variable to their models based on different research perspectives, so the moderating role of work autonomy has been widely confirmed. For example, Demerouti *et al.* [15] believe that job autonomy and social support play a moderating role in the relationship between stress and turnover, that is, the greater the employee's autonomy in work, the lower his or her perception of stress, thereby reducing the employee's Turnover. Based on the above research conclusions, this article proposes the following hypotheses:

H8: Work autonomy plays a positive role in regulating the relationship between psychological capital and Organizational commitment of employees in post-90s

3. Research Methods

3.1 Variable Operational Definition And Measurement

The research model constructed in this study mainly involves six variables: psychological capital, organizational commitment, work engagement, behavior of voice, organizational support, and work autonomy. The scale mainly adopts mature scales at home and abroad, and the scale is verified and modified in the context of China. The following are the operational definitions of the variables and the source of the scale are summarized as follows: see Table 3.1.

Table 1 Operational definition of each variable and aggregate table of scales

Variable	Operational definition	Measurement scale
Psychological Capital	Psychological capital is an individual's positive psychological development state	PCQ scale developed by Luthans et al. [3]
organizational support	The degree to which employees perceive the organization to care about their contributions and benefits	SPOS scale developed by Eisenberger et al. [19]
Work Engagement	Work engagement is defined as an energetic, dedicated, and focused mental state demonstrated by employees during the work process.	Schaufeli et al. [20] developed a three-dimensional metric table
Voice Behavior	Promoting speech and inhibiting speech	Liang and Farth [21] Two-dimensional Voice Behavior Scale
Organizational Commitment	Organizational commitment is an attitude of employees to the organization and an indicator of employee loyalty to the company	"Commitment Questionnaire for Chinese Workers' Organizations" prepared by Ling,Zhang, & Fang [22]
Work Autonomy	The degree of freedom and autonomy that individuals are given in deciding how to get execution done	Hackman and Oldham [23] work diagnostic questionnaire

3.2 Questionnaire Distribution And Research Objects

This article takes the group of post-90s employees in China as the research object. It is considered that the post-90s employees are in the age of 20-29. Using non-random convenience sampling method and questionnaire survey method, the survey samples are mainly from "90s" employees in small and medium enterprises in Tianjin, Shanghai and Henan. The sample covers the northern, central, and eastern coasts of China. These three cities have witnessed rapid economic development in recent years, many universities, and the introduction of talent policies. The number of companies has continued, and in recent years, university students have continued to gain employment and land in this area. Select a typical first-tier city Shanghai, the new first-tier cities Zhengzhou and Tianjin will make the sample representative.

Wang [24] think this research is convenient and fast through the network questionnaire. In order to ensure the quality of the data and the credibility of the data, and to minimize the concerns of the employees surveyed, the respondents will explain to them that the survey results are anonymous before filling out the questionnaire, And the company's survey results will not be given to company leaders to watch. It is estimated that a total of 500 questionnaires will be distributed. Guo [25] think the larger the number of samples, the more comprehensive the survey results, the higher the accuracy, and the smaller the error. Specifically, the investigation approach of this article is as follows: Contact already employed relatives and issue questionnaires to employees aged 20-29 at their units. Very familiar with departmental system, organizational culture, etc., so the option to effectively answer the questionnaire is a good survey sample.

3.3   Data Analysis Method

In this study, SPSS 23.0 and AMOS 22.0 statistical suite software were used as the statistical analysis tools for the collected questionnaire survey. Basic data analysis was performed on the overall questionnaire data. A variety of statistical analysis methods are used, including reliability and validity analysis, descriptive analysis, correlation analysis, and regression analysis.

3.4 Research Framework

This paper starts from the individual characteristics to affect attitude, and then affect behavior thinking. This paper discusses the influence mechanism of employees' psychological capital on their voice behavior. It takes psychological capital as independent variable, voice behavior as dependent variable, work engagement and organizational commitment as intermediary variable. The research framework is shown in Figure 3.1.
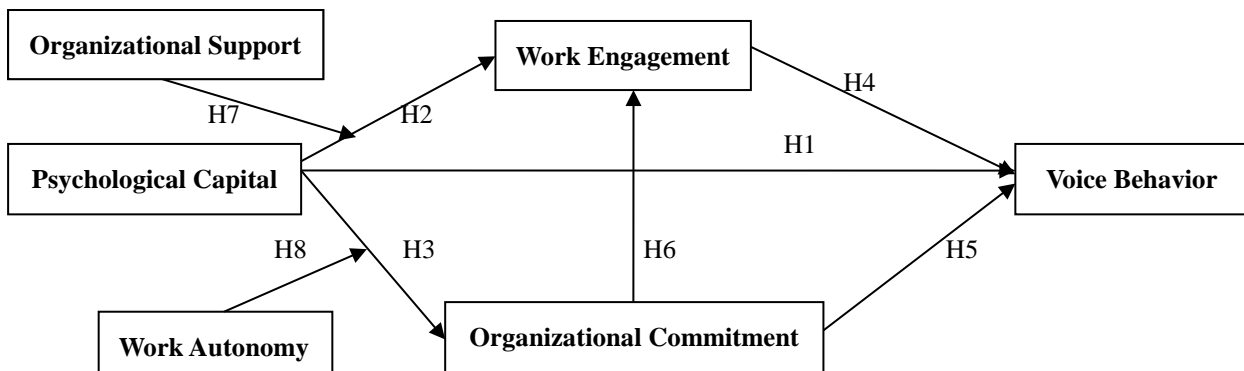
Figure 1   Research architecture diagram
Data resource：This research organize

4. Expected Research Results

4.1   Research Hypothesis

(1) Psychological capital has a positive effect on voice behavior; (2) Psychological capital has a positive impact on work engagement; (3) Psychological capital has a positive impact on organizational commitment; (4) Work engagement has a positive effect on voice behavior impact; (5) Organizational commitment has a positive impact on voice behavior; (6) Organizational commitment has a positive impact on work engagement; (7) Organizational support plays a positive regulating role in the relationship between psychological capital and work engagement; (8) Work autonomy plays a positive role in regulating the relationship between psychological capital and organizational commitment.

4.2 Significance

This article has the following research significance：

4.2.1 Theoretical Significance

(a) Nowadays, the localization research in the Chinese context is advocated. Although chinese scholars have done a lot of research on psychological capital, they are still not deep enough compared with international scholars.

(b) Although many scholars have confirmed through empirical evidence that psychological capital can indeed influence voice suggestions, the mechanism of its influence is rarely explored.

4.2.2 Practical Significance

(a) This paper discusses the relationship between the psychological capital of the post-90s employees and their advice-making behavior, and urges the enterprise managers to attach importance to and develop the psychological capital of the post-90s employees, which can not only help the post-90s employees to improve their own level of psychological capital, and can promote the employee to the enterprise's suggestion behavior, is beneficial to the enterprise's benign development, has realized the staff individual and the enterprise overall development win-win.

(b) This paper discusses the important role of employee voice behavior of post-1990s in organizational development, which provides a new angle for managers to manage enterprises and a new method for the development of enterprises.

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Impact of China – Laos Railway (Vientiane–Boten Railway) on Logistics Service Providers in Nongkhai Province, Thailand

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Abstract

This paper presents the analysis study impacts of infrastructure investment on transportation that is China – Laos Railway (Vientiane–Boten Railway) to Logistics Service Providers (LSPs) situation in Nongkhai province, Thailand. 4 main effects of Vientiane–Boten railway to LSPs in Nongkhai province have been analyzed i.e., logistics aspect, economy aspect, tourism aspect, and security aspect. The analysis has been conducted by employing fishbone diagram to analyze possible causes for an effect or problem. In addition, a time cost distance model is considered for comparing the cost and time components of movement by available routes and modes of transportation route from Bangkok, Thailand to Kunming, China both cases of (1) road mode, and (2) road and rail mode.

Keywords: Vientiane–Boten Railway, Fishbone Diagram, Time Cost Distance Model

1. Introduction

In this 15 recently years, Chinese's government has developed a lot of transport infrastructures under the "Belt and Road Initiative: BRI" strategy. The BRI or One Belt One Road (OBOR) is China's economic development strategy for expanding trade and cultural influence towards countries in western and eastern regions, including ASEAN. The BRI strategy consists of the Silk Road Economic Belt and the Maritime Silk Road that are shown in Figure 1. Railways are used in the Silk Road Economic Belt to connect China with south east Asia, south Asia, Central Asia, Russia and Europe by land. For the Maritime Silk Road, a sea route connecting China's coastal regions with south east and south Asia, the South Pacific, the Middle East and Eastern Africa (Vangeli, 2017, p. 101-124).

Figure 1 Belt and Road Initiative (BRI) route map
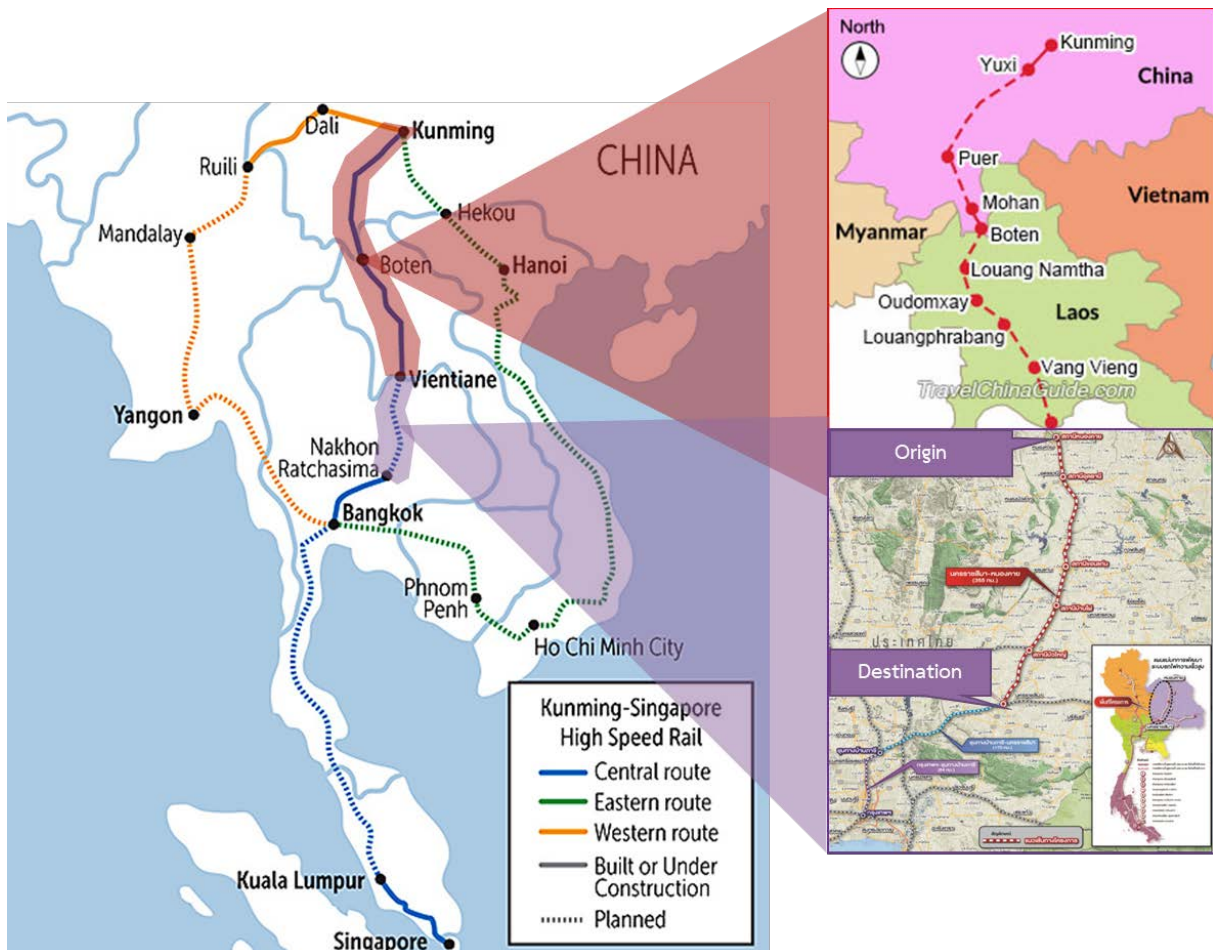
Figure 2 Vientiane–Boten Railway and Bangkok – Nongkhai high speed rail route map

There are many transport infrastructures under the BRI strategy. A China – Laos railway (Vientiane–Boten railway) is one of project under the Silk Road Economic Belt that has been developed for serving as a key infrastructure for the economic corridor between the two

160

countries. In nearly future, this railway will be helped to boost trade, investment and tourism for Lao PDR. and south China's Guangxi Zhuang Autonomous Region. The distance of Vientiane–Boten railway is 427 kilometers from Boten, Luang Namtha Province at the China-Laos border to Vientiane Province. The route map of Vientiane–Boten railway is show in Figure 2. The construction of this railway project will be completed within 2021, which will be operated to transport both of passengers and freight i.e., 4 trains a day for passengers and 14 trains a day for freight. The final station of Vientiane–Boten railway is located in Vientiane Province that is close to Nongkhai Province of Thailand. Nongkai Province is a province of Thai – Laos border which has the First Thai–Lao Friendship Bridge for connecting Nongkhai Province of Thailand with Vientiane Province of Lao PDR. Additionally, the Thai's government will develop the high speed rail project from Bangkok – Nongkhai. This project will be connected to Vientiane–Boten railway for making seamless movement of passengers and freight.

Due to the railway projects i.e., Vientiane–Boten railway, Bangkok – Nongkhai high speed rail, they will affect to reduce time and cost of transportation, that are convenient for traveling and freight. On the one hand, Nongkhai Province can be distribution area for export some goods to other countries by railway conveniently. In the aspect of tourism, number of tourists will be increased. Based on these effects, economic growth of Nongkhai Province will be enhanced. On the other hand, competition of business sector will increase. In addition, the government sector must prepare preventive measures for security problem that will be increased. Therefore, in order to provide roadmap for supporting the railway projects, impacts of Vientiane–Boten railway to Nongkhai Province should be considered.

In this paper, the impacts of Vientiane–Boten railway to Nongkhai Province are shown by using fishbone diagram to analyze possible causes for an effect or problem. Moreover, the cost/time methodology has been used to illustrate the cost and time components of movement by available routes and modes as well as to illustrate the delays at borders or other inspection points up to the point of destination within a transit transport corridor. The structures of this paper are as follows: Introduction, background, methodology, analysis and finding, and conclusion.

2. Background

2.1 China – Laos Railway (Vientiane–Boten Railway)

The Vientiane - Boten railway, part of the Kunming-Singapore multi-country rail network (or "Pan-Asia Railway"), is an anchor investment of the Chinese government's Belt and Road initiative (BRI) (Wu, 2016, p. 17). The multi-country Kunming Singapore rail link was first espoused at the 1995 ASEAN summit. The proposed rail network would provide the backbone for the China-Indochina Economic corridor, one of six defined economic arteries for BRI. The

Vientiane - Boten railway would form part of the central rail link in the six-country network, enabling a direct route from Kunming to Bangkok and Singapore via Vientiane as shown in Figure 3. The Vientiane - Boten railway is constructed as a standard gauge (1435 mm), 427 kilometers railway goes from Boten, Luang Namtha Province at the China-Laos border to Vientiane and then Nong Khai Thai-Laos border crossing. It represents a major development to Laos' railway system (Derudder et al., 2018).
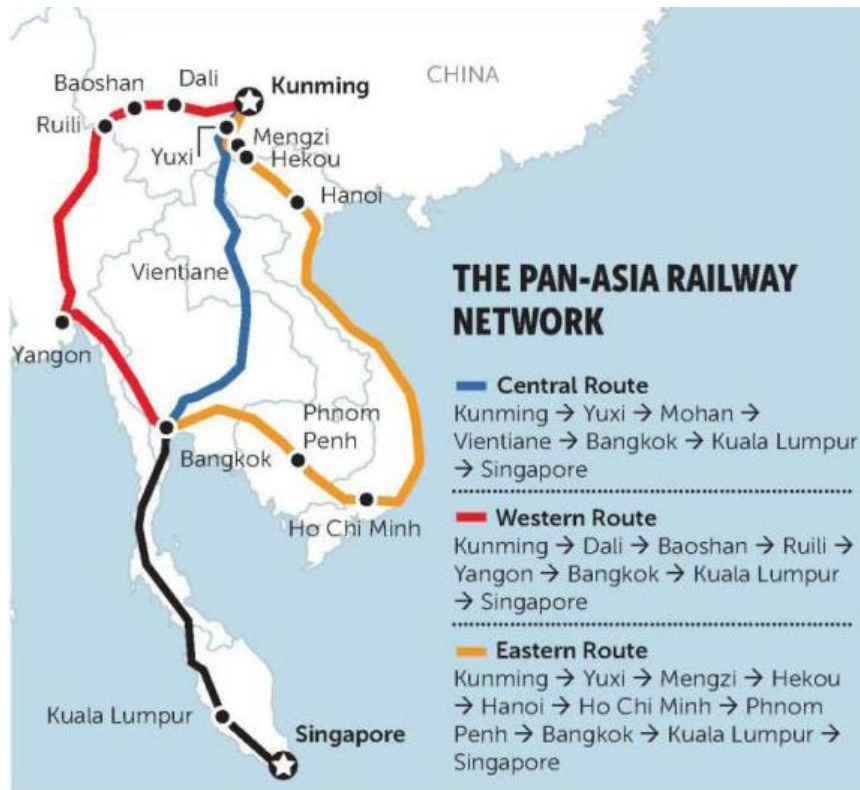
Figure 3 The "Pan-Asia" Railway network

2.2 Literature Review

In this section, impacts of infrastructure development under the Belt and Road Initiative (BRI) is examined. There are many aspects that are impacted from BRI's infrastructure development such as environmental impacts, economic impacts, and socio-cultural impacts. The BRI driven primarily by infrastructure development along spatial corridors linking China with various regions of Eurasia, motivated by geostrategic and economic development priorities (Sternberg et al., 2017, p. 55; Yu, 2017, p. 353-368). Infrastructure is often defined and constrained by geopolitics (van der Putten, 2016, p. 337-351). Infrastructure can facilitate geopolitical aims such as conquest, competition or cooperation. This infrastructure is supported by, and facilitates, other cooperation mechanisms such as policy coordination, trade, financial and socio-cultural linkages (Summers, 2016, p. 1628-1643).

The economic benefits of BRI infrastructure are driven primarily by increased trade in goods, services and resources, facilitated by reduced transportation costs and other trade barriers. BRI is projected to increase total exports of 46 countries along the BRI strategy by $5 billion to $135 billion and GDP by 0.3 to 1.4 percent (Villafuerte et al., 2016, p. 15-17). However, reduced trade barriers can cause jurisdictions with lax environmental regulations to gain a comparative advantage, redistributing environmental impacts (Cole & Elliott, 2003, p. 363-383). There are fears that as trade barriers are lowered, China's tightening environmental regulations may make many countries along the BRI strategy more attractive as pollution havens, a process which BRI may accelerate. Additionally, a logging moratorium in China's Heilongjiang province caused spill-over effects for forests abroad (Tracy et al., 2017, p. 56-88). The extent to which this may be a problem has been questioned by empirical evidence from the economic literature which suggests that only marginal firms relocate, while most remain and comply with stricter laws (Levinson & Taylor, 2008, p. 223-254). In addition, trade-related changes in industrial composition may facilitate production at lower relative emission intensities (Cherniwchan, 2017, p. 130-149). Suggesting an interplay of these factors, an econometric study found evidence for the pollution haven effect in countries along the BRI strategy from non-Chinese investment but found that Chinese investment reduced emissions (Liu & Dai, 2017, p. 2).

The social impacts of development considered through social impact assessments alongside environmental impact assessments can have long-term negative effects on local communities (Vanclay et al., 2015). Social drivers identify factors that contribute to and mediate environmental impacts, such as community structures and institutions, people's preferences, behavior and capacity to influence change. Chinese companies' past record of alleged forced evictions and environmental degradation suggest that without local accountability the BRI is likely to face local resistance. Concerns about environments, communities and livelihoods can galvanize civil society into action. In Kyrgyzstan, for example, locals burnt down a BRI-supported Chinese gold-processing plant after their fears of pollution were not sufficiently addressed. Fears of local backlash and Chinese political pressure can motivate Chinese corporations to take corporate social responsibility (CSR) more seriously with recognition of community concerns. For example, China Road and Bridge Corporation (CRBC) opened its procurement process for the Mombasa–Nairobi standard gauge railway to local contractors instead of using only Chinese contractors and consulted with wildlife experts to enable animals to cross the railway line safely. However, social drivers of BRI environmental impacts are not limited only to China and host countries. US and EU consumers are responsible for 30% of the carbon emissions in countries along the BRI strategy through embodied carbon flows (Han et al., 2018, p. 1263-1274).

Based on literature reviews, environmental impacts, economic impacts, and socio-cultural

impacts of infrastructure development under the BRI have been analyzed in basically. However, the impacts of Vientiane–Boten railway to Nongkhai Province have not been investigated yet. Therefore, the area of Nongkhai Province is considered especially in this paper to analyze possible causes for an effect or problem from the Vientiane–Boten railway.

3. Methodology

3.1 Fishbone Diagram

A fishbone diagram is an analysis tool that provides a systematic way of looking at effects and the causes that create or contribute to those effects. Because of the function of the fishbone diagram, it may be referred to as a cause-and-effect diagram. It helps to identify root causes and ensures a common understanding of the causes (Ishikawa, 1990). In a typical Fishbone diagram, the effect is usually a problem needs to be resolved, and is placed at the "fish head". The causes of the effect are then laid out along the "bones", and classified into different types along the branches. Further causes can be laid out alongside further side branches.

Fishbone diagram mainly represents a model of suggestive presentation for the correlations between an event (effect) and its multiple happening causes. The structure provided by the diagram helps team members think in a very systematic way. Some of the benefits of constructing a Fishbone diagram are that it helps determine the root causes of a problem or quality characteristic using a structured approach, encourages group participation and utilizes group knowledge of the process, identifies areas where data should be collected for further study (Watson, 2004, p. 54). The general structure of a fishbone diagram is presented in Figure 4. The design of the diagram looks much like the skeleton of a fish. The representation can be simple, through bevel line segments which lean on an horizontal axis, suggesting the distribution of the multiple causes and sub-causes which produce them, but it can also be completed with qualitative and quantitative appreciations, with names and coding of the risks which characterizes the causes and sub-causes, with elements which show their succession, but also with other different ways for risk treatment. The diagram can also be used to determine the risks of the causes and sub-causes of the effect, but also of its global risk.
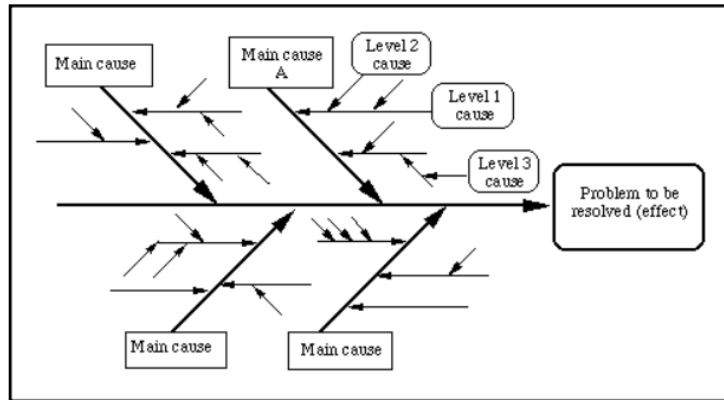
Figure 4 Fishbone Diagram – Structure
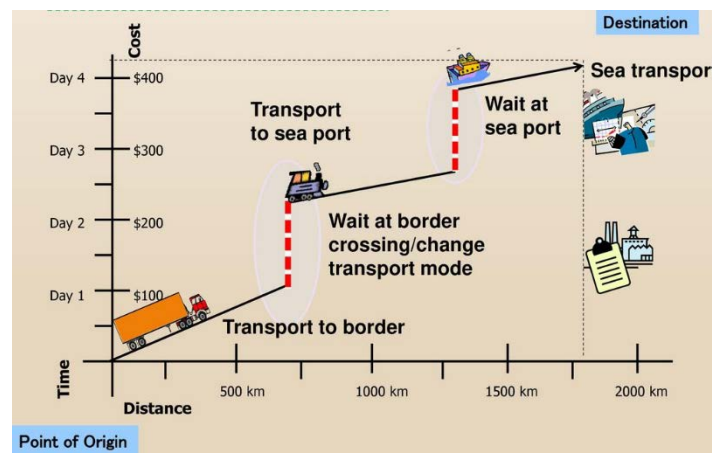
Figure 5 Time cost distance model

3.2 Time Cost Distance Model

A Time Cost Distance Model is the graphical representation of cost and time data associated with transport processes (Raj Jain, 2017, p. 30-46). The aim of the model is to propose a methodology to illustrate the cost and time components of door-to-door movement by available routes and modes as well as to illustrate the delays at borders or other inspection points up to the point of destination within a transit transport corridor. The vertical axis of the model represents the time and cost incurred while the horizontal axis represents the distance travelled from origin to destination as shown in Figure 5. The methodology enables easy comparison and evaluation of competing modes of transport operating on the same route and comparison of alternate transport routes.

The methodology is based on the premise that the unit costs of transport may vary between modes, with the steepness of the cost/time curves reflecting the actual cost, price or time. At border crossings, ports and inland terminals, delays occur, and freight/document-handling charges and other fees are usually levied without any material progress or movement of the goods being made along the transport route. This is represented by a vertical step in the cost curve. The height of the step is proportional to the level of the charge or time delay.

165

4. Analysis and Findings

In this section, the impacts of China – Laos railway (Vientiane–Boten railway) on logistics service providers in Nongkhai province is analyzed by employing a fishbone diagram to present the effect and its multiple happening causes. The impacts of Vientiane–Boten railway in Nongkhai province is presented as fishbone diagram in Figure 6. There are 4 main effects of Vientiane–Boten railway that have been impacted in Nongkhai province. The effects are as follows:

Logistics, 4 sub-effects are defined. Firstly, infrastructure and facilities will be developed to support both of passengers and freight movement. Moreover, logistics activities will be increased after completing Vientiane–Boten railway. Due to Vientiane–Boten railway, transportation route network will be improved, it also can help to reduce transportation time.

Economy, 6 sub-effects are defined. There are many positive effects in economic aspect that consist of investment, Gross Provincial Product (GPP), labor and employment, and border trade value. However, China's trade expansion and illegal products will be increased in Nongkhai province.

Tourism, there are 3 sub-effects in this aspect. All of them is positive effect that consist of number of tourists, tourism industry, and new tourism route.

Security, there are 3 sub-effects in this aspect. All of them is negative effect that consist of number of illegal immigrations, immigration workers, and drug.
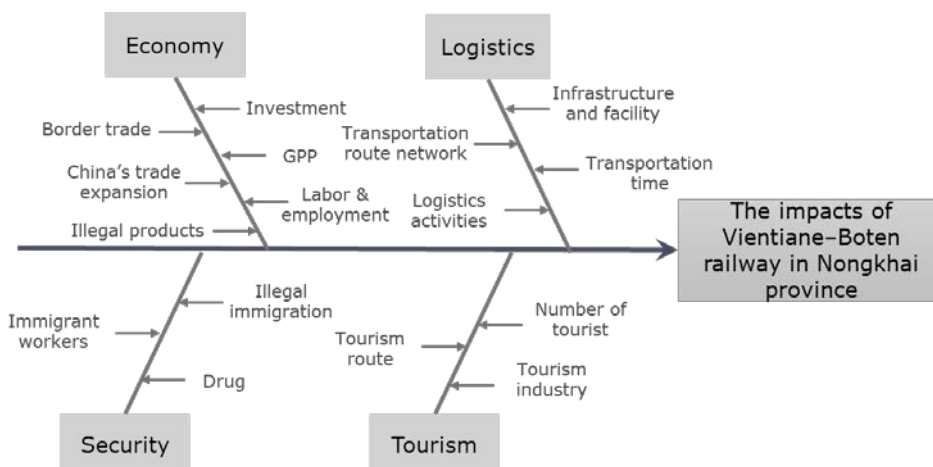
Figure 6 Fishbone diagram for the impacts of Vientiane–Boten railway in Nongkhai province

(a) Time Model of Route from Bangkok to Kunming   (b) Cost Model of Route from Bangkok to Kunming
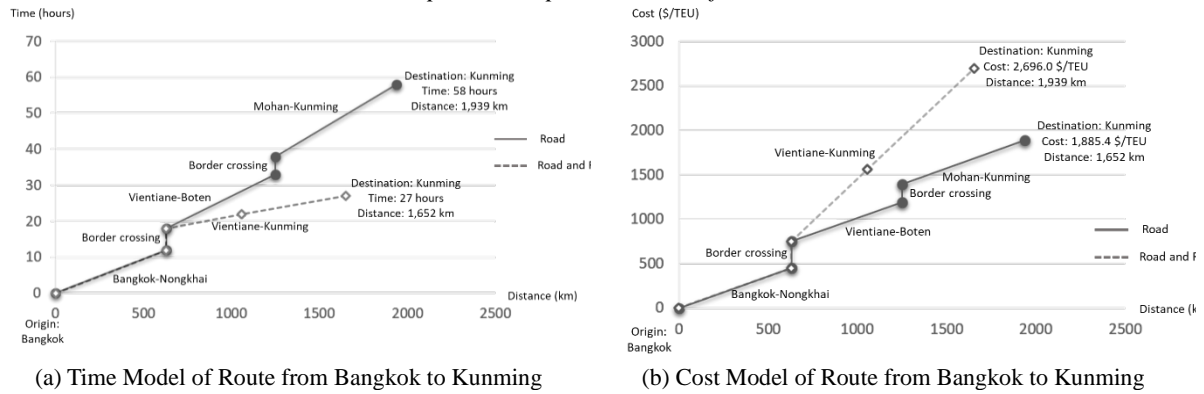
Figure 7 Time Cost Distance Model of Route from Bangkok to Kunming

After the impacts of Vientiane–Boten railway in Nongkhai province have been investigated. In this section, time cost distance model (Bangkok – Kunming) is conducted in order to compare time of transport goods before and after the completed Vientiane–Boten railway. The time and cost of transport goods from Bangkok, Thailand to Kunming, China is shown in Figure 7.

Figure 7 presents the time cost distance model of transportation route from Bangkok, Thailand to Kunming, China. In order to compare time and cost of transport goods, graph (a) and (b) illustrates time and cost model of transportation route, the gray line stands for time and cost of transportation before completing Vientiane–Boten railway and the gray dash line stands for time and cost of transportation after completing Vientiane–Boten railway. From (a) graph, time of transportation will be decreased from 58 hours to 27 hours after completing Vientiane–Boten railway. However, cost of transportation will be increased from 1,885 USD/TEU to 2,696 USD/TEU when route of transportation is selected both of road and rail.

5. Conclusion

The infrastructure investment on transportation (e.g. road, bridge, railway, and port facility) have been developed for enhancing economic growth of each country that is positive effect. On the other hand, each country also must be faced with the negative effects of infrastructure development.

Nongkhai province, Thailand is the area that has been considered in this paper in order to examine the impacts of China – Laos railway (Vientiane–Boten railway) on logistics service providers. The results of analysis have been found. On the one hand, there are many positive effects for the area of Nongkhai province. Firstly, passengers and freight movement will be support by China – Laos railway (Vientiane–Boten railway). Secondly, logistics activities will be increased after completing Vientiane–Boten railway. In tourism aspect, number of tourists will be increased. In addition, new tourism route will be known which can enhance tourism industry the area. Due to Vientiane–Boten railway, transportation route network will be

improved, it also can help to reduce transportation time. On the other hand, many negative effects will occur in term of security aspect i.e., number of illegal immigrations, immigration workers, and drug.

BRI has been perceived as another form of trade and investment liberalization by providing logistic facilitation to stimulate international trade and investment activities. Hence, it creates both economic opportunities and challenges. Economic impacts and social Impacts that are depending on how deep economic integration established by BRI. Thai government provides high speed train, the route runs from Bangkok to Nong Khai province where passengers can cross the border and board a train (another BRI project) in Vientiane, Lao PDR heading north and eventually arrives in Kunming in China. Moreover, Thailand 4.0 Policy with 10 targeted industries is in accord with Made in China 2015 policy. Infrastructure development and investment and technology assistance can be gained from the BRI, especially in the development of the Eastern Economic Corridor (EEC) for Thailand's economic transformation to be the hub of ASEAN.

6. Acknowledgements

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Using TPB Model to Explore the Ambivalent Attitude of Consumers in Green Consumption

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Abstract

In the field of green consumption, there is a gap between positive consumer attitudes and actual behaviors, that is the ambivalent attitude. This study aims to analyze the relationship between environmental knowledge, perceived consumer effectiveness, social identity, ambivalent attitudes and green consumption behaviors. Exploring the moderator effect of consumer guilt between ambivalent attitude and green consumption behaviors which reduce the possibility of consumers' ambivalent attitude in green consumption. This study also uses the basic model of planned behavior theory to replace subjective norms and perceived behavior control with social identity and perceived consumer effectiveness to explore the expansion of TPB (Theory of Planned Behavior) in future green consumption behavior research.

Keywords: Green Consumption Behavior, Environmental Knowledge, Ambivalent Attitude, Perceived Consumer Effectiveness, Social Identity

1. Introduction

With the rapid economic development and technological progress, unsustainable development and consumption patterns have had many negative impacts on the environment, such as climate change, water and air pollution etc. Nowadays environmental issues have become the focus of public and media attention, attracting widespread attention from researchers, meanwhile the production and sales of green products have also attracted the attention of enterprises [1]. In recent years, the government and enterprises have invested huge resources in the research and development of green products [2]. However, the ultimate purpose of the product is the consumers. Only when consumers finally choose to buy the green products they need, can they play a green value role which is of benefit to the environment.

Consumers' understanding of green products is often related to their own environmental knowledge, which is generated from the consumers' experience [3]. If consumers have knowledge of the causes of pollution and their behavior impact on the environment, then their level of awareness of environmental issues will surely increase, thereby will promote their approval of green products. Therefore, accurate, rich and reliable environment knowledge is an important factor affecting consumer decision-making processes. In general, consumers'

knowledge about ecological products is very limited, both in terms of communication channels and information volume. Few consumers have a clear understanding of the characteristics of products in terms of environmental, which directly leads to hesitation and uncertainty when doing green consumption. In early research, perceived consumer effectiveness was considered as a measure or factor of attitude itself, the result became a direct influence on consumers' environmental awareness behavior. Ellen et al. [4] argue that consumer concerns about environmental issues may not easily translate into environmentally friendly behaviors. However, those who believe that their environmentally conscious behaviors will bring positive results are more likely to engage in such behaviors to support their environmental concerns [5]. In addition, if consumers have a high degree of recognition for a group, they will inevitably feel the normative pressure from the group then force themselves to follow these guidelines when purchasing products to gain recognition from the community.

Existing research on ambivalent attitudes are mainly concentrated in sociology and psychology. There is less research on the contradictory attitudes of consumers in green consumption, this study starts from the perspective of marketing which attempts to explore the influencing factors and effects of consumers' ambivalent attitudes in the field of green consumption where the phenomenon of inconsistent attitudes and behaviors is common.

Guilt is widely defined as a negative self-conscious emotion, and used by marketing professionals, especially the advertising industry, to influence consumer behavior and stimulate consumption growth [6] [7]. Some green advertisers often use guilt to evoke environmentally friendly consumer behavior [8]. This may be due to social responsibility and one of the main forms of consumer guilt [9]. Sometimes consumers have not fulfilled their social obligations, such as without adopting a greener lifestyle makes individuals guilty. According to Antonetti and Maklan [10], this emotion will relatively reduce the ambivalent attitude in green consumption.

This study aims to research the ambivalent attitude to explain the attitude-behavior inconsistency where the field of green consumption, as well as the generation and influencing factors of such phenomena. At the meantime, further examines the mediating role of ambivalent attitude between influencing factors and green consumption behavior and how consumers' environmental knowledge, PCE and social identity affect the ambivalent attitude? The main motivation of this study is to help marketers who in the green field can reasonably control and reduce the level of ambivalent attitude of green consumers and provide a theoretical basis for developing appropriate marketing strategies.

2. Research Hypothesis

2.1 The Impact of Environmental Knowledge on Green Consumption Behavior

He et al. [11] believe that environmental knowledge can directly affect environmental protection behaviors, Zhang et al. [12] considered that the lack of environmental knowledge would affect ecological protection willingness and behavior when studying ecological protection in protected areas. Pagiaslis and Krontalis [13] found in a study that knowledge has a direct positive impact on pro-environmental buying behavior. So, to a certain extent, people who with more knowledge of environmental issues are more likely to take environmentally friendly actions when making purchasing choices.

Based on this literature discussion, the following research hypothesis is proposed:

H1: Environmental knowledge has a significantly positive impact on green consumption behavior.

2.2 The Impact of Environmental Knowledge on Ambivalent Attitude

Zemborain et al. [14] pointed out that the incompleteness of cognition is an important factor that causes consumers to decide whether to buy or not. Consumer knowledge is an important factor affecting consumer decision-making, information processing, and consumer behavior [15]. On the one hand, since high-knowledge consumers have more skills and information to judge the quality of a product or service than lower-knowledge consumers. Therefore, they can more easily feel and recognize the key attributes of products, which can reduce their uncertainty in the consumption process. On the other hand, low-knowledge consumers lack a basic product cognitive structure, which makes it difficult to form a comprehensive and clear understanding of product attributes.

Few consumers clearly understand the environmental protection knowledge of their products which leads to ambivalent attitude when buying green products. It can be speculated that consumers who with a high level of environmental knowledge can form a comprehensive and clear understanding of green products without inconsistent attitudes to impact on the decision process.

Based on this literature discussion, the following research hypothesis is proposed:

H2: Environmental knowledge has a significantly negative impact on the ambivalent attitude.

2.3 The Impact of Social Identity on Ambivalent Attitude

Social identity means that an individual recognizes that he (or she) belongs to a specific social organization group, and recognizes the emotional and value significance that he brings as a

member of the group [16]. In organizations with a high degree of recognition, consumers will force themselves to accept these norms owing to group normative pressure. According to Otnes et al. [17], the differences among the behavior of the reference group, the attitudes of individuals and significant others are also the main factors of personal ambivalent attitude [18].

Due to the public welfare and premium nature of green products, conflicts between personal and group interests often make consumers hesitant to make green consumption behaviors, which leads to ambivalent attitude. In addition, identification can lead to ownership among its members which will allow them to strengthen restraint and self-management control when facing the dilemma of buying green products [19], to reduce the level of ambivalent attitudes caused by problems such as green product premiums and actual purchase behavior.

In the literature, starting with Tajfel's classic definition of social identity, Ellemers et al. [20] proposed that three components contribute to one's social identity: a cognitive component (a cognitive awareness of one's membership in a social group), an evaluative component (a positive or negative value connotation attached to this group membership) and an emotional component (a sense of emotional involvement with the group). Bergami and Bagozii [21] proved these three classifications and sorted them accurately into: organizational identification, affective commitment and organization-based self-esteem.

Based on this literature discussion, the following research hypotheses are proposed:

H3: Social identity has a significantly negative impact on the ambivalent attitude.

H3a: Organizational identification has a significantly negative impact on the ambivalent attitude.

H3b: Affective commitment has a significantly negative impact on the ambivalent attitude.

H3c: Organization-based self-esteem has a significantly negative impact on the ambivalent attitude.

2.4 The Impact of Perceived Consumer Effectiveness on Ambivalent Attitude

Perceived Consumer Effectiveness (PCE) is like the concept of self-efficacy in social learning theory which refers to the effect that consumers expect their own behavior to have on problem solving [4]. Research on social dilemmas states that cooperation depends on the individual's perception of the extent to which contributes to the achievement of collective goals.

If consumers can obviously notice the environmental protection effect brought by green

ecological products, believing that their buying behavior will help to improve public welfare. It will produce a supportive attitude towards green ecological products that will keep consumers at a low level of ambivalent attitudes. On the contrary, having higher ambivalent attitude [22].

Based on this literature discussion, the following research hypothesis is proposed:

H4: Perceived consumer effectiveness has a significantly negative impact on the ambivalent attitude.

2.5 The Impact of Perceived Consumer Effectiveness on Green Consumption Behavior

Ellen et al. [4] pointed out that consumers' perceived consumer effectiveness on environmental issues which is different from the concept of environmental protection awareness and environmental attitudes. It has a special predictive power for environmental protection behaviors such as the purchase of green ecological products. Consumers generally don't know how much ecological product purchases will contribute to environmental protection. Such doubts about the efficacy of green ecological products will greatly reduce consumers' willingness to buy.

In other words, when consumers think that their environmental protection behaviors will have a positive effect, they may have corresponding behavioral intentions. To promote a shift in consumer behavior patterns, they must be convinced their own behavior has an important role to play in preventing phenomena such as environmental degradation.

Based on this literature discussion, the following research hypothesis is proposed:

H5: Perceived consumer effectiveness has a significantly positive impact on green consumption behavior.

2.6 The Impact of Ambivalent Attitude on Green Consumption Behavior

Consumers' different evaluations of different attributes of green products will cause consumers to have conflicting attitudes. Huang et al. [23] assert that if consumers have a positive evaluation of the brand attributes of target products, they will form a positive attitude. At the same time, consumers believe that the price of the target product is too high, it will form a negative attitude. The combination of these two attitudes will form a ambivalent attitude between consumers.

O'Donovan and McCarthy [24] found that consumers are often constrained by insufficient environmental knowledge when choosing green brands or making green consumption. After

producing contradictory attitudes, consumers will have a clear sense of ambivalent attitude and hesitant [25] [26]. Hodson et al. [27] argued that when people have a more ambivalent attitude to the purchase plan, they are more likely to accept the opinions of the reference group and be affected, and it is easier to compromise and maintain a consistent attitude.

Based on this literature discussion, the following research hypothesis is proposed:

H6: Ambivalent attitude has a significantly negative impact on green consumption behavior.

2.7 Moderating Role of Consumer Guilt

Although guilt is negative, researchers emphasize that the function of guilt can not only stimulate people's behavior, but also regulate people's behavior, because people monitor and adjust their behavior to reflect their personal values and goals [28]. Consumers' hesitancy caused by the premium nature of green products, other factors in green consumption will also make up for this guilt emotion, thereby promoting the occurrence of green consumption behavior.

Based on this literature discussion, the following research hypothesis is proposed:

H7: Consumer guilt has a significantly negative moderating effect the ambivalent attitude and green consumption behavior.

3. Methods

3.1 Research Framework

This research includes six variables: environmental knowledge, perceived consumer effectiveness, social identity, ambivalent attitude, consumer guilt and green consumption behaviors. According to the literature review and research purposes, this study assumed that environmental knowledge, perceived consumer effectiveness and social identity are independent variable and ambivalent attitude is the mediation variable. Green consumption behavior is the dependent variable, and consumer guilt is the moderator. The research framework is shown in Figure 3.1 below:
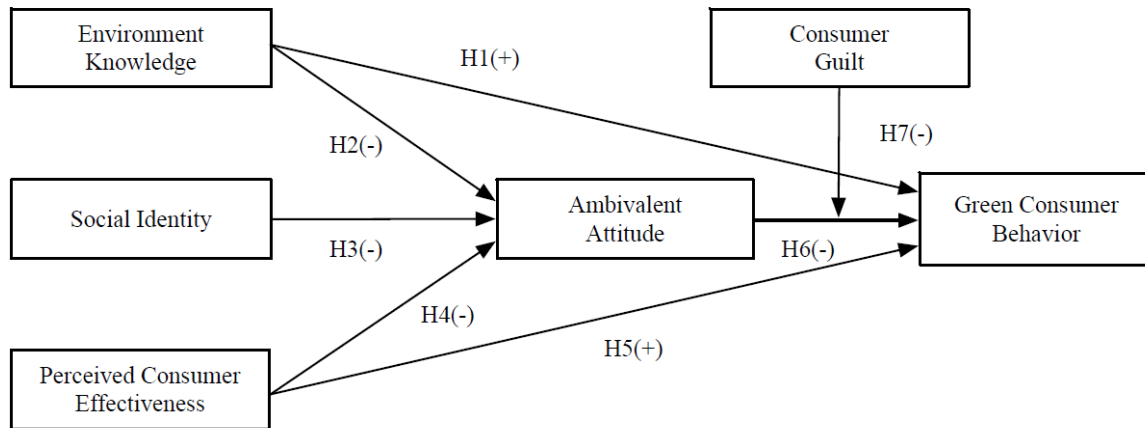
Figure 3.1 Research Framework
Data recourse: This Research Organizes

3.2 Measures

This study defines environmental knowledge as awareness of related products that have an impact on the environment that is when people evaluate the function of the product and its benefits in the environment. Adopting the Likert seven-level scale contains five items developed by Mohr et al. [29] (1 is "strongly disagree", 7 is "strongly agree"), the questionnaire has matured after several tests. Cronbach's alpha of this scale=0.83.

This study defines social identity as the individual recognizes that he (or she) belongs to a specific social group, and recognizes the emotional and value significance that he brings as a member of the group. The green behavior of employees is transformed into organizational identification, affective commitment and organization-based self-esteem [21]. Using the organizational identification scale developed by Mael and Ashforth [30] which contains 5 items, the questionnaires has used recently by Tarakci et al. [31], Cronbach's alpha of this scale=0.8. Using the affective commitment scale developed by Allen and Meyer [32] that contains 8 items used by Loi et al. [33], Cronbach's alpha of this scale=0.76. Using the organization-based self-esteem scale developed by Pierce et al. [34] which contains 10 items and it used by Xiong and Aryee [35]. Cronbach's alpha of this scale=0.91.

This study defines perceived consumer effectiveness as consumers believe that the impact of its purchase of a product's behavior on environmental issues. Using Roberts's [36] 7-point scale contains four items, which was used by Liu et al. [37]. Cronbach's alpha of this scale = 0.913.

This study defines ambivalent attitude as the fact that individuals have both positive and negative cognitive evaluations, emotions, and emotional experiences with products or services. With reference to Thompsom et al. [22] and Huang et al. [23] research methods for testing ambivalent attitudes. Measuring the positive attitude with "ignoring the negative product factors

176

of green products, I would buy the product" and "ignoring the negative product factors of green products, I think the product feels good to use". Negative attitudes were measured by "ignoring the positive product factors of green products and I will not buy the product" and "ignoring the positive product factors of green products and I think the product is bad to use".

This study defines consumer guilt as the psychological state of self-blame that arises when consumers' own purchasing behavior conflicts with cognition. Using the seven-level Likert scale developed by Dedeoglu and Kazancoglu [38], which contains 5 items. Cronbach's alpha=0.85.

This study defines green consumption behavior as consumers consider their impact on the environment when purchasing products, and specifically choose to buy green products that have little or no pollution to the ecological environment. Using the scale developed by Straughan and Roberts [39], Do Paco and Reis [40] which contains 10 items. It was used by Muralidharan et al. [41]. Cronbach's alpha of this scale = 0.9.

3.3 Research Subject

The purpose of this study is to explore the influencing factors of inconsistent attitudes and behaviors in green consumption field, and then influence green consumption behaviors. So, it needs to clarify consumer perceptions of these influencing factors and require filling in the degree of perception of these internal and external factors according to the individual consumer. There are two main methods of empirical research on green marketing, experiment research method and questionnaire survey method. The experimental method refers to conducting research by controlling certain conditions or creating certain situations purposefully to cause certain psychological activities of the subjects [42]. In other words, through manipulating related variables manually, to check whether there is a certain causal relationship between the two variables. However, this method has certain drawbacks: (1) Artificial environment is required, resulting in low external validity. (2) It is difficult to adopt large samples, and most of them take small samples as research objects. Without random sampling, the research conclusions are difficult to be universal. (3) This method is suitable for studying the status quo or future events, but not for past events. Considering the practicability of the research conclusions for other groups, this study uses the questionnaire survey method to achieve a large sample random sampling method and obtain a large amount of extensive data in a short period of time to ensure the reasonable research results.

Many empirical studies in the field of green consumption currently take college students as the research object. This study will select the survey samples as enterprises and institutions working in various types of units rather than college students for the following three reasons. (1) The

green consumption concept has a relatively short rise in China, and its product prices are generally higher than normal products, which has certain requirements on the economic level of the participants. (2) The use of green products involves many specific behaviors in daily life, requiring participants can have spare time to join in family life. (3) The waste disposal process involves the investigation of waste disposal behaviors in daily life, and it is necessary to obtain the subjects' disposal behaviors of various wastes, such as domestic garbage, waste household appliances, and electronic products.

Due to the shortcomings of college students in self-income control and family life participation, which can't satisfy the requirements of the subjects in the above three aspects, so this article will take the employed enterprises and institutions as the research object to obtain scientific reasonable research data.

4. Expected Results

After the questionnaires are collected, this study will select the obtained questionnaires to find the invalid questionnaires that prevent the invalid questionnaires from interfering with the research data. Among the 600 questionnaires, several questionnaires may be classified as invalid questionnaires due to incomplete completion or all the same answers will be selected. After excluding invalid questionnaires, a few valid questionnaires will be obtained. The data will then be encoded and imported into Excel to create a file to facilitate later analysis. This study will use SPSS and AMOS statistical software to test and analyze the data.

After the data analysis results are obtained, each variable and hypothesis are discussed according to the data, and the research results are obtained. The data obtained are expected to be enough to support the research hypothesis: (1) Environmental knowledge positively affect green consumption behavior. (2) Environmental knowledge negatively affects ambivalent attitude. (3) Social identity negatively affects ambivalent attitude. (4) Perceived consumer effectiveness negatively affects ambivalent attitude. (5) Perceived consumer effectiveness positively affects green consumption behavior. (6) Ambivalent attitude negatively affects green consumption behavior. (7) Consumer guilt does negatively regulate the ambivalent attitude and green consumption behavior.

Based on the expected research results, this study will give relevant suggestions under the background: The results of this research show that in many cases, consumers have ambivalent attitudes about the of green consumption behavior. With that in mind, enterprise marketing managers should increase consumer education on environmental knowledge, at the same time, work with governments and schools to carry out extensive, systematic and durable environmental knowledge dissemination activities.

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An Empirical Study on the Effect of Cash Dividend Policy on the Value of China 's Financial Listed Companies

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Abstract

Dividend policy reflects the listed companies operating results and behavior, but also the external image of the company have a certain impact. This paper constructs the relationship between cash dividend policy and corporate value of listed companies in China, and makes an empirical analysis using the data of 135 listed financial companies in China from 2016 to 2018. The results show that the payment of cash dividends will lead to the improvement of corporate value and the payment of cash dividends in relation to the value of the firm. At the same time, the cash dividend payout ratio of the firm is positively correlated with its value and shows the inverted U-type relationship. Finally, on the basis of summarizing the research results, some concrete suggestions are put forward for how to set up the dividend policy of China's financial listed companies to improve their own value : first, to improve the profitability of financial listed companies, The second is to appropriately increase the level of dividend payment, and the third is to ensure the strict implementation of the dividend distribution system by legislation.

现金股利政策对中国金融上市企业价值影响的实证研究

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摘要

股利政策反映了上市企业的经营成果，同时也对公司形象有一定影响。本文通过完善中国金融上市企业的现金股利政策与其价值之间的关系模型，利用中国金融上市企业 2016-2018 年的 135 笔数据进行实证分析。结果显示，支付现金股利会导致企业价值提高，支付现金股利与企业价值成正相关关系；同时，企业的现金股利支付率与其价值成正相关关系，且表现出倒 U 型关系。最终，为中国金融类上市公司如何合理制定股利政策从而提升自身价值的角度出发提出一些建议：一是提高获利水平，二是适当提高股利支付水平，三是通过立法来保证企业对股利分配制度的严格执行。

关键词：金融类上市公司；现金股利政策；企业价值

1. 前言

股利政策在一个企业的利润分配中占据着重要地位，很多上市公司为了保持公司资金来源的稳固性，一般实行现款股利政策。而在中国金融类上市企业在股利分配等议题上，存在相关政策波动大，出现不平衡：支付现金股利水平比较低；但是有能力支出现金股利的上市企业却出现分配不持续的现象。本文通过整理 45 家中国金融类上市企业的数据构建多元线性回归模型来探究其现金股利政策对其自身价值影响的联系，为中国金融类上市公司这一特殊行业如何制定合适的股利政策提供一些参考。

本文的研究意义归纳如下：第一是为我国上市企业决策者应该如何根据自身情况正确的制定股利分配方式提供一些建议；第二是为潜在投资者能全面掌握企业的现金股利分配方式，使其能够根据自身情况制定合适的投资方式提供一些的建议；第三是为中国管理部门和一些将要上市的金融企业提出一些启示。
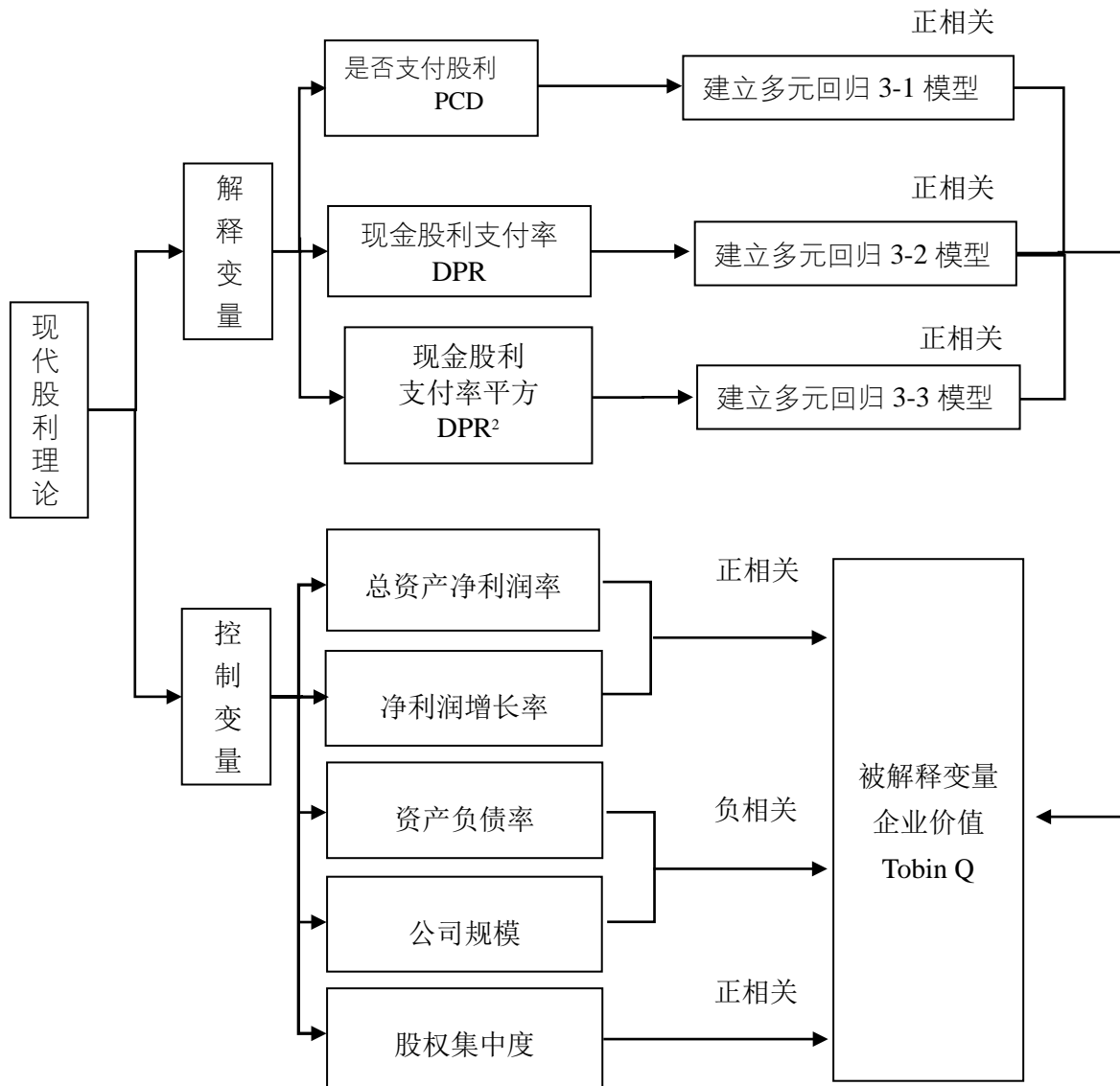
图一　研究框架图

2. 文献综述和研究假设

吕俊杰(2013)在对上市企业股利政策与企业的价值相关性的实证中，将是否支付现金股利

与企业价值联立方程探究二者之间的关联，结果显示是不是支付现金股利和公司是相关的。因为如果一个企业发放现金股利，那么企业留下的可动用资金就少了，管理者用于满足自己个人欲望的资金就减少了，企业的代理成本变低了，企业的价值就得到了提高。而且企业发放股利说明其自身有良好的经济效益做支持，其自身价值也不会低。因此提出了假设一。

假设一：现金支付的股利和企业的价值有关。支付现金股利使得企业价值提高。

企业股利的支付高，获利能力也就越强，前景发展的信息投资者对企业信心满满的，企业价值自然就会随之股价的提高而提高。相反，则会向外界传递出企业今后成长前景不好的消息，股价会随之降低，而自身价值也得不到提高。所以，对于低股利来说，高的现金能提高企业的位置。何蕊(2010)使用多元回归分析法，对中国证券市场 200 个上市股份公司进行实证研究，而其结果显示在支付现金股利政策的情况下，现金的支付和企业的价值具有相正的关系，因此提出了假设二。

假设二：现金股利的支付率和企业的价值具有相正的关系。企业现金股利支付率提升，会使其自身价值上升。

现金股利的支付比率对企业应该将利润留在内部进行更好的分配还是将其作为现金分红发放给公司的股东二者之间的权衡结果。发放现金分红的比率是有一定的特殊效应，其支付比率不是越大越好，高额的现金红率不仅不能降低企业自身的成本，还可能导致其自身价值的下降。何静(2009)站在代理的角度来看，通过探索它们之间的关系，最后成功将这种定义为 U 型，从另一方面来说是指企业利润会因所交易的现金股市而得到相应提高，但是如果达到了顶峰，那么就算现金方面继续增加企业的自身所具有的价值会成反方向发展。由此本文提出假设三。

假设三：现金股利与企业价值具有倒 U 型的关系，也就是说现金股利交易要根据企业自身情况把握好尺度。

3. 研究方法

3.1 样本选取

本研究以 2016－2018 年 3 年间中国沪深两市中具有完备财务、股利政策资料的金融类上市企业的数据进行实证分析。从目前来看金融类上市公司共有 68 家，为了保证研究结论的可靠性，排除异常样本的干扰，本文在选取样本时作了如下筛选：

剔除了特别处理(Special Treatment, ST)、特别转让服务(Particular Transfer, PT)类上市公司。ST、PT 类股票是上市公司的财务状况或经营业绩存在一定问题，上海证券交易所和深圳证券交易所对其股票进行特别处理的一类公司股票，考虑这类上市公司有可能是由于连续亏损等原因造成的，而按照《中华人民共和国公司法》第 167 条的相关规定，公司获得盈余后首先用于弥补上年的亏损，不得支付现金股利的规定，这类企业可能不具有支付股利的能力，因此将这类企业剔除。

剔除存在超额派现现象的样本数据。本文是以研发企业日常情况下的运作为目标并且来估计这种影响对企业价值的作用，超额派现产生的原因可能有很多种，如股权分置改革等原因，是公司在非正常情况下的派现行为，因此本文将这类数据剔除。

经过上述筛选符合条件的金融类上市公司有 45 家，本文以这些上市公司 3 年共 135 笔数

据为研究样本数据，使用多元回归等方法进行研究。

3.2 变量设计

3.2.1 被解释变量

本文被解释变量是企业价值。本文借鉴了杨汉明(2008)的研究方法，采用 Tobin Q 来表示公司价值。Tobin Q 是对公司价值进行评估的一个重要的指标。Tobin Q 越高，说明公司拥有更多有优势的投资机会和更强的竞争力。

3.2.2 解释变量

按照假设一的假设，首先诠释变量让公司能否发出现款股利(Pay Cash Dividends，PCD)。它是一个虚拟变量，用 PCD 表示，当 PCD＝1 时，则说明上市公司进行了现金股利的派发，PCD＝0 之时，就表明上市企业没有实行现款股利的发放。

按照假设二的假设，其次诠释变量给现款股利支出率(Dividend Payout Rate, DPR)，表明为 DPR。

按照假设三的内容，第三个诠释变量为股利支付率的平方，用 DPR^2 表示。

3.2.3 控制变量

总资产净利润率(Return On Assets，ROA)。在对公司获利能力进行评估时，我们通常会选择用 ROA 来作为评估公司获利能力强弱的指标。而这种能力与 ROA 呈正相关，二者为同向增减，ROA 的高低决定公司获利的大小。王葳葳(2010)在对上市企业现金股利政策与企业自身价值关系的实证中，将总资产净利润率作为其模型的控制变量。实证结果表明 ROA 与 Tobin Q 之间呈显著正相关关系。所以，这篇文章假设 ROA 和企业价格之中出现正有关联系。

净利润增长率(Net Profit Growth Rate，NPGR)。NPGR 的意思是公司净收益的提升速率，正值表明收益的提升，负值表明收益的下滑。程亚(2008)在对股利政策的研究中，基于公司生命周期理论的角度，发现上市公司现金股利的派发会随着公司的成长、成熟、衰退呈现逐渐递减的趋势。按照以上说的状况，这篇文章假设 NPGR 和企业价格出现正有关联系。

资产负债率(Debt To Assets Ratio，DTAR)。DTAR 的意思是说上市公司的整体负负债除整体资产的值。在对公司偿还债务能力进行评价时，我们通常会选择 DTAR 来表示公司偿还债务能力的强弱。黄婧(2013)经 Logistic 回归与多元线性的回归知道，DTAR 更高的民营高档企业，它本身价值就更低。所以，这篇文章假设 DTAR 和企业价格出现负有关联系。

公司规模(LN Company Size，LNSIZE)。在我国的证券市场中，大多数上市公司都存在着大量的非流通股股票，从而上市公司的市值并不能全面地反映出上市公司的规模。所以，用自然数对比的方法来衡量公司的发展，在我国科研实验方面也主要使用这种方法。何静(2009)在对中国上市企业现金股利与其自身价值关系的实证中，把 LNSIZE 作为一个控制变量加入模型中进行研究分析。由结果可以看出 LNSIZE 与企业价值的关系是负相关。

股权集中度(TOP1)。股东与经理二者之间存在代理关系，这种关系的存在就会出现经理人为了追求自身利益最大化而进行过度投资的问题，给公司造成损失，不利公司价值的提升。所

以，本文在证实时，是以改变 TOP1 来测试的。这个文章用来衡量公司股权指标的是大股东持股的比例。对 TOP1 进行证实的是杨汉明(2008)。根据实验结果得出结论，企业提升与股权的集中有关，股份集中与企业发展为正相关关系。

3.3 模型设计

以多元回归的方法来体现分红股利对企业市场的影响，用 α、β 和 θ 代表回归系。根据假设一，建立如下回归模型 (3-1)：

$$TBQ_{it} = \alpha_0 + \alpha_1 PCD_{it} + \alpha_2 ROA_{it} + \alpha_3 NPGR_{it} + \alpha_4 DTAR_{it} + \alpha_5 LNSIZE_{it} + \alpha_6 TOP1_{it} + \varepsilon_{it}$$

其中，α_0 为常数项，α_i(i=0，1，2，…6)为回归系数，TBQ 代表托宾 Q 值，PCD 代表是否支付现金股利，ROA 代表总资产报酬率，NPGR 代表净利润增长率，DTAR 代表资产负债率，LNSIZE 代表样本资产总额的自然对数，TOP1 代表第一大股东持股比率，ε 为误差项。

根据假设二，建立如下回归模型 (3-2)：

$$TBQ_{it} = \beta_0 + \beta_1 DPR_{it} + \beta_2 ROA_{it} + \beta_3 NPGR_{it} + \beta_4 DTAR_{it} + \beta_5 LNSIZE_{it} + \beta_6 TOP1_{it} + \varepsilon_{it}$$

其中，β_0 为常数项，β_i(i=0，1，2，…6)为回归值，TBQ 代表托宾值，DPR 代表的支付率是现金的，ROA 代表投资的利益，NPGR 代表纯收入的增长情况，DTAR 代表总资产的欠债率，LNSIZE 代表资产总额与样本的自然对比，TOP1 代表大股东的股份占有率，ε 为误差项。

根据假设三，建立如下回归模型 (3-3)：

$$TBQ_{it} = \theta_0 + \theta_1 DPR_{it} + \theta_2 DPR^2_{it} + \theta_3 ROA_{it} + \theta_4 NPGR_{it} + \theta_5 DTAR_{it} + \theta_6 LNSIZE_{it} + \theta_7 TOP1_{it} + \varepsilon_{it}$$ 其中，

θ_0 为常数项，θ_i(i=0，1，2，…6)为回归系数，TBQ 代表托宾 Q 值，DPR 代表是现金股利支付率，DPR2 代表股利支付率平方，ROA 代表总资产报酬率，NPGR 代表净利润增长率，DTAR 代表资产负债率，LNSIZE 代表样本资产总额的自然对数，TOP1 代表第一大股东持股比率，ε 为误差项。

4. 实证分析

4.1 描述性统计分析

利用回归统计分析软件进行统计分析可知，有现金股利支付的样本占到了 92%，进一步对有现金股利支付样本的各变量数据进行描述性统计，所得到的结果如下表所示。

表一 描述性统计结果

变量	平均值	标准差	最小值	最大值
TBQ	1.382	0.664	0.979	4.733
DPR	0.271	0.192	0.067	1.695
ROA	0.029	0.036	0.005	0.284
NPGR	0.737	1.117	-0.768	6.533
DTAR	0.795	0.186	0.050	0.949
LNSIZE	26.671	2.619	20.657	30.732
TOP1	0.302	0.155	0.054	0.684

从以上数据可看出，选择的取样本金融类上市集团 2016 年至 2018 年的 TBQ 值平均值为 1.382，说明这个企业的企业价值平均水平为 1.382，最高值和最低值分别为 4.733、0.979，二者的差异比较大，说明不同样本企业的企业价值存在着很大的不同。同时，股利支付率 DPR 的平均值为 0.271，及样本公司现金股利占净利润比重的平均比重为 0.271。另一方面，样本公司的总资产净利润率、净利润增长率、资产负债率、公司规模、股权集中度的平均值分别为 0.029、0.737、0.795、26.671、0.302，并且这些指标的最高值和最低值也有很大差异。

1.1 相关性分析

相应性研究可以向变量内有关的状况实行研究，变量内的有关水平平常都是应用有关的数字来掂量，其有关的数字比零大的时候，就表明变量之中出现正有关联系，其有关的数字比零小的时候，就表明出现负有关联系。这时候，有关数字的绝对值更大，就表明变量内的有关性更高。如下，此篇文章会应用 Pearson 有关的数字对所有变量之中的有关性状况实行初步分析。使用回归软件，获取的所有变量之中有关的数字表现在下图。

表二 变量相关系数表

	TBQ	DPR	ROA	NPGR	DTAR	LNSIZE	TOP1
TBQ	1						
DPR	0.231*	1					
ROA	0.716**	-0.021	1				
NPGR	0.419**	-0.036	0.314**	1			
DTAR	-0.754**	-0.218*	-0.620**	-0.329**	1		
LNSIZE	-0.712**	-0.188*	-0.546**	-0.457**	0.842**	1	
TOP1	-0.115	0.144	0.018	-0.080	0.133	0.241*	1

注：*、**分别表示在 5%、1%水平下显著相关。

从上表结果可以看出，变量 TBQ 与 DPR 的相关系数为 0.231，且该系数在 5%水平下是显著的，因为有关的数字比零大，所以 TBQ 与 DRR 两者出现明显的正有关联系，其表明公司价格和现款股利支付率之中出现正有关联系，现款股利支付率更高，其公司价格更高，首次证明了这篇文章说出的假定二。

其他部分，TBQ 和 ROA，NPGR 之中出现明显的正有关联系，而和 DTAR，LNSIZE 之中出现明显的负有关联系，且和 TOPI 的有关性不显著。由于相关性分析仅能考察两两变量之间的关系，有一定的局限性，以下将进一步采用回归分析方法对以上所建立的模型进行深入分析。

4.2 回归分析

为得到分析现款股利政策对我国金融类企业价值的影响状况，如下使用元线性回归研究方案，对前文里设计出的三种回归样式实行研究。

首先使用获取的所有样本数值，向回归模型一实行估算，得到以下表中的估算结果。

表三 模型一回归结果

变量	回归系数	标准误差	t 统计量值	Sig.	共线性统计量 VIF
常数项	3.526**	0.542	6.504	0.000	
PCD	0.285*	0.142	2.015	0.046	1.143
ROA	2.253**	0.764	2.947	0.004	1.539
NPGR	0.049	0.038	1.284	0.202	1.538
DTAR	-1.824**	0.351	-5.201	0.000	3.232
LNSIZE	-0.041	0.028	-1.439	0.153	4.266
TOP1	0.010	0.248	0.040	0.968	1.097
R 方	0.634				
调整 R 方	0.614				
F 统计量值	32.580				
Sig.(F 统计量)	0.000				

注：*、**分别表示系数在 5%、1%水平下显著相关。

在上述回归结尾能够知道，此样式估算的 R 方是 0.719，拟合优势略高，F 总和量是 43.855，对应的 Sig 数据是 0.000，比 0.01 要小，表明样式总体在 1%程度下是明显的，这时候，其他变量共线性总和量 VIF 数据全比 10 小，表明不会有很多共线性情况，估算结局还是理想的。

在变量的回归数据我们可以知道，变量 PCD 的估算数据是 0.285，此数据明显性检查的 Sig. 数据是 0.046，比 0.05 要小，所以它在 5%程度下是明显的，其表明能否支出现款股利对公司价格出现明显的影响，因为数据比零大，所以，支出现款股利的公司价格明显比并非支出现款股利的公司价格要高，验证了本文提出的假设一：支出现款股利和公司价格是正有关联系，支出现款股利能造成公司价格的提升，这时候，变量 ROA 的估算数据在 1%程度下明显是正，变量 DTAR 的估算数据在 1%程度下明显是负，其表明全部资产利益越好，公司价格就越好，资产负债率更高，公司价格更低。

其次使用样本数值，对回归模型二实行估算，得出的估算结果以下表所表现出。

表四 模型二回归结果

变量	回归系数	标准误差	t 统计量值	Sig.	共线性统计量 VIF
常数项	2.659**	0.567	4.692	0.000	
DPR	0.580**	0.195	2.966	0.004	1.170
ROA	7.958**	1.294	6.152	0.000	1.787
NPGR	0.079*	0.036	2.209	0.029	1.326
DTAR	-1.076**	0.381	-2.823	0.006	4.155
LNSIZE	-0.029	0.027	-1.068	0.288	4.243
TOP1	-0.295	0.242	-1.221	0.225	1.167
R 方	0.719				
调整 R 方	0.702				
F 统计量值	43.855				
Sig.(F 统计量)	0.000				

注：*、**分别表示系数在 5%、1%水平下显著相关。

有上述结论显示出,以这种方式去估算 R 方 0.719，两者之间的契合度十分匹配，F 的估量数据为 43.855，同样的 sig 的数值为 0.000，结论＜0.01,由此可知，这样的模式的整体水平都处于比较低下的位置,不超过 1％。与此同时。各方面变动值的估值 VIF 数值大都不超过 10，这可以看出这种结果并不是对于企业占有任何优势的。变量 DPR 的估计系数为 0.58，根据相关回归分析可知，该系数的显著性检验具体数值为 0.004，小于 0.01，故其在 1%水平下是显著的，由于系数大于 0，这说明现金股利水平对企业价值存在显著的正向影响，因此验证了本文提出的假设二：企业的价值和现金股利支付水平成正比例关系，即企业的现金股利支付水平越高，企业的价值就更加高。并且企业也会因此显露出良好的发展前景，体现出企业的较高的盈利能力。投资者对企业信心十足，企业价值自然就会随之股价的提高而提高。总之，提高企业现金股利能够促进企业效益的提高。另外，变量 NPGR 和变量 ROA 的估计系数分别在 5%和 1%以下时，显著为正，当变量 DTAR 的估计系数在 1%以下时，显著为负，以上结果说明，总资产的净利润和增长率对企业价值具有很明显的负向影响。所以，如果企业净利润率和增长率高，则企业价值越高；反之如果企业负债过多，企业的价值就低。

最终对回归模型三进行评估，具体结果如下表所示。

表五 模型三回归结果

变量	回归系数	标准误差	t 统计量值	Sig.	共线性统计量 VIF
(常量)	2.695**	0.559	4.822	0.000	
DPR	1.495**	0.497	3.006	0.003	7.794
DPR^2	-0.623*	0.312	-1.997	0.049	7.716
ROA	7.784**	1.278	6.090	0.000	1.796
NPGR	0.082*	0.035	2.322	0.022	1.328
DTAR	-0.927*	0.383	-2.420	0.017	4.319
LNSIZE	-0.042	0.028	-1.506	0.135	4.470
TOP1	-0.293	0.238	-1.229	0.222	1.167
R 方	0.729				
调整 R 方	0.711				
F 统计量值	39.250				
Sig.(F 统计量)	0.000				

注：*、**分别表示系数在 5%、1%水平下显著相关。

根据以上分析结果可知,该模型的 F 统计数值是 39.25,对应的 Sig 数值为 0.000,小于 0.01，R 数值为 0.729，拟合优度比较高；另外，相比较而言，各个变量共线性的 VIF 数值都小于 10，此结果是比较力量的，说明多重共线性的情况是不存在的。

变量 DPR^2 的估计系数数值为-0.623，同样该系数显著性检验的 Sig.值 0.049，小于 0.05，故其在 5%水平下是显著的；根据变量回归系数结果可知，变量 DPR 的估计系数是 1.495，Sig.数值为 0.003，同样小于 0.01，所以在低于 1%水平下是显著地；所以由于 DPR 系数显著为正，而 DPR^2 的系数显著为负，这就说明企业的现金股利支付率与企业价值存在的关系是倒 U 型的，具

体关系是先呈现正向关系，当到一定水平后，便会随着现金股利支付的提高，公司自身价值会出现下降趋势。因此验证了本文提出的假设三：企业的现金股利支付水平与企业价值是呈现倒U型关系的。虽然现金股利水平的提高会使得企业价值提高，但是如果企业现金股利水平过高，则会使得企业代理成本加大，一定程度上影响企业的价值提高。

另外，变量 DTAR 的估计系数数值在 5%水平下显著为负，变量 ROA 数值在 1%以下显著为正，变量 NPGR 的估计系数数值在 5%水平下显著为正，这些说明企业总资产的净利润和增长率对企业价值具有显著的正面影响，但是企业的负债率却对企业的价值有显著的负面影响。

4.3 实证结论

以上通过采用多元线性回归分析方法，对所建立的三个回归模型进行分析可知，本文的所有假设都得到了与预测结果一致的结论。所以，如果支付现金的股利增加的话，企业价值相应的也会提高，但是当股利支付率到达一定的水平之后，如果股利支付率继续升高的话，企业的价值就会下降，这也就是说支付现金股利与企业价值成正比例的关**系，且呈现出倒 U 型关系。**

5. 结论与建议

5.1 研究结论

根据实证分析结果可得到以下结论：上市企业在进行现金股利支付后，会使当前其自身价值得到提升，这就是说上市公司的现金股利派发(PCD)与公司价值(TBQ)存在正相关关系。如果企业不存在亏损情况，则会尽可能的支付现金股利，希望与那些不发股利同时自身价值也比较低的上市企业区分开来，更好的取得投资人的信任同时使他们更倾向对企业投资，以此来提升企业的未来价值。

现金股利支付率(DPR)和企业价值(TBQ)存在正相关关系，也就是说 DPR 越高的上市企业，其自身价值就会越高。上市公司管理者在对本公司发展前景有信心的情况下，会通过派发现金股利的形式对外界传递利好信息，以吸引更多的投资者的关注，并且会在满足公司经营所需现金的条件下，尽可能地提高现金股利派发水平。

现金股利支付率(DPR)和企业价值(TBQ)之间存在相关性，二者之间存在倒 U 型。发放现金的比例是具有某种效应的，此比例不是越大越好，如果发放现金的比率较大那么上市企业的成本就会上升，这样反而会降低企业价值。实证结果得企业价值先随着股利支付率的提高而增加，当股利支付率达到一定水平后，随着股利支付率的提高，企业价值会出现下降趋势。

总资产报酬率(ROA)与公司价值(TBQ)呈正相关。金融类上市公司应该不断对经营策略进行调整，并提升管理能力，以此来提升自身的盈利能力，从而提升公司价值。

净利润增长率(NETP)与公司价值(TBQ)呈正相关。金融类上市公司要不断提升自身的盈利能力和经营业绩，获取更多的利润，这有利于公司价值最大化的实现。

资产负债率(DTAR)与公司价值(TBQ)呈负相关的关系。如果公司背负的债务率提高的话，公司偿还债务的能力就会下降。当公司进行对外投资时，如果公司投资所用资金不从留存收益中获取，那么投资所需资金就需要公司通过对外融资获取，这会增加企业融资成本和负债，会对公司自身价值的成长产生不利的因素。

企业规模(LNSIZE)和其自身价值(TBQ)为负相关关系。金融上市企业应该选择适合自身发

展状况规模，不能过于盲目追求扩大规模。

股权集中度(TOP1)与公司价值(TBQ)相关性不显著。考虑到本研究中股权集中度作为外生变量，可能受到模型以外因素所决定，本文认为企业股权的集中与否，是企业为了实现自身价值与股东利益之间的权衡结果。无论股权怎样处理，集中亦或是分散，公司都应该以股东的利益放为重点。因此，在本次研究中认为股权与公司价值之间并不存在关联性。

5.2 研究建议

从中国金融类上市公司的实际情况出发，本文提出以下几点建议。

一是提高金融类上市企业的获利水平，它代表的是公司资金和资本增值的一种能力，是企业进行股利派发资金来源。企业的盈利能力与其自身价值呈正相关关系，这说明企业提升自身盈利能力有利于其自身价值的提升。随着中国经济的飞速发展，国民对资产管理的市场需求也急剧增加，上市证券公司、保险公司、信托公司以及私人银行部门都可以从这个领域找到新的利润增长点，从而提高行业的整体盈利能力。

二是适当提高股利支付水平。企业的分红水平较高会给股东传递一个企业发展良好的信号，金融类上市企业可以适当考虑在有能力承受范围内尽可能提升股利支付率。通过支付较高的现金股利为那些中小以及潜在的投资者带来高额的回报，通过这种方式来减少投资者倾向于短期投资的情况。

三是通过立法的方式来保证企业对股利分配制度的严格执行。首先强制将企业相关资讯的公开更加公开。当上市企业如果在本年不采用相关股利政策，那么就必须要求其在年末财务报表中解释并说明其理由。上市企业如果选取了其他的策略，比如股票分红或者转增方式发放股利，那么企业就必须从财务报表中的相关数据显示出来，并且要将这笔股利的分配以及用途详细说明。如果上市企业对上述条例不执行，或者没有合理的进行。那么相关的部门机构就要实行严厉的惩戒，例如在进行融资配股时，采取更为严格的限制条件，从而迫使上市企业在进行股利分配情况时得到一定的约束性。

5.3 研究不足与未来展望

中国已经上市的金融企业较少，通过筛选与剔除文章共选用了 45 家企业为样本，周期为 2016-2018 年间，但由于时间的局限性其并不能代表金融上市企业的总体趋势。由于金融这一行业是具有特殊性的，所以本文所选取的变量并不能代表股利政策的全部因素，而存在的其他因素也可能对其产生一定的影响，但是本文并没有将其他因素涵盖其中。因此，通过本次研究得出的结论也许会与实际的情况存在一些差别。同时本文也相信今后的学者能够在这一问题上有更深入的研究，为中国金融上市企业彻底解决股利分配的问题。

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The Impact of Strategic Social Responsibility and Social Capital on Firm's Competitive Advantage

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Abstract

Strategic social responsibility is an important foundation for the sustainable development of enterprises and the enhancement of corporate image. And corporate social capital and corporate social responsibility have cross-core fusion in terms of value objectives. Social capital from social relations networks believes that social responsibility is a rational behavior that companies can choose. But at the same time, it is believed that corporate social responsibility does not show that the research results show that strategic social responsibility has a significant negative relationship to corporate competitive advantage. The comprehensive indicators of corporate social capital have played a positive role in promoting the relationship between strategic social responsibility and corporate competitive advantage. From the perspective of different dimensions of corporate social capital indicators, the dimensions of strategic social responsibility and corporate competitive advantage The role of relationship regulation is inconsistent. The addition of relationship dimension 1 (RE1) positively strengthens the relationship between the two, while the addition of cognitive dimension indicators weakens the relationship between the two.

策略性社会责任、社会资本对企业竞争优势的影响

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摘要

策略性社会责任是企业可持续发展及增加企业形象的重要基础。而企业社会资本和企业社会责任在价值目标等方面有交叉核融合之处。来自社会关系网络中的社会资本认为，承担社会责任是企业可以选择的一种理性行为。但同时认为企业承担社会责任并不会研究结果显示：策略性社会责任对企业竞争优势有显着负向关系。企业社会资本的综合指标对策略性社会责任与企业竞争优势之间的关系起到了正向促进的作用；从企业社会资本的不同维度指标来看，各维度对策略性社会责任与企业竞争优势的关系调节作用是不一致的，其中关系维度 1 即 RE1 的加入正向加强了两者之间的关系，而认知维度指标的加入则是削弱了两者之间的关系。

关键词：企业社会责任；企业社会资本；企业竞争优势；协同效应

1. 研究背景与动机

随着当今世界经济全球化的不断延生和发展，世界各国的经济，社会以及环境之间的互相影响愈加激烈，这就让现代企业认识到，要想实现企业的良性长久发展，必须要推动自身与政府部门与社会环境的良好互动。自进入资本主义时代，企业出现伊始，社会各界就企业除追求市场盈利之外，是否会承担社会责任而给予不同评价非常关注。1997 年 10 月社会责任国际(SAI)公布了全球第一个社会责任国际标准 SA8000，建立 SA8000 社会责任标准认证制度。在这个情况下，中国企业为了打入国际市场，并在国际市场上拥有竞争力从而完成自身的长期稳定发展，就必须要认识到社会责任对企业的重要作用。这就要求中国企业将企业社会责任纳为长期发展的战略目标之一。

企业社会资本是指企业利用自身所处关系网络获取其发展所需资源的一种能力。企业社会资本以网络成员之间的信任、合作以及彼此间的承诺为中介不仅提高的企业绩效还有效的降低了交易成本。随着全球经济一体化的进程，社会关系网络不仅越来越多样而且复杂程度也不断增加，企业社会资本研究的正是社会网络，所以，企业重视社会资本的是其发展和提升竞争力的重点。

在全球经济一体化的背景下，经济、社会和环境之间有越来越密切和复杂的关系。企业在经济社会中具有双面性，企业既可以为社会做出贡献也可以为社会造成严重影响。因此，从社会责任角度来看，企业的首要任务不是追求股东利润的最大化，而是通过自身影响力实现整个社会、环境和经济的价值最大化。学术界通常是对企业社会资本、企业社会责任和企业竞争优势分开研究，或者之研究了其中两者之间的关系，却忽略了其实这三者内部是存在逻辑关系的。从企业社会责任和企业社会资本的内涵看，利益相关者始终贯穿其中，可以作为研究两者对企业竞争优势影响的基础。本文目的在于通过探讨社会资本与社会责任对于企业竞争优势的协同影响，充实相关理论研究并且希望为企业实际操作提供理论参考。一方面，分别将企业社会责任和企业社会资本之一作为调节变量，研究其在另一个与企业竞争优势关系中所起的作用；另一方面，研究企业社会责任行为和企业社会资本与企业竞争优势的协同效应。

2. 文献探讨

企业竞争优势是现代企业经营管理的关键议题，Selznick(1957)从组织的独特能力的视角将优势与竞争两个概念结合在一起。之后学者们对企业竞争优势的定义进行了不断地探究。Asoff(1965)将企业竞争优势当作企业的一种强有力的重要资产。Hofer and Schendel(1978)则将企业竞争优势定义为获取资源后的一种外在表现。Aaker(1984)认为企业的不仅要具备竞争优势，并且这种优势应该具有持续性才能够对企业的发展起到实质性的作用。

Bullen and Onyx(2000)的研究从结构和认知的两个维度来衡量社会资本，并首次归纳出了学术界广泛应用的社会资本衡量代表性的八大因子。刘米娜等（2013）认为，结构型社会资本从社会参与度来看分为开放型和封闭型两种，开放型即社会参与度高，封闭型则社会参与度低，

开放型和封闭型能够全面的测度结构性社会资本。而认知型社会资本主要从不同个体不同程度的信任来衡量，这种信任包括人际信任、陌生人信任、团队信任以及互助。谭云清等（2013）同样研究了企业社会资本与企业绩效之间的关系，在指标选择上，对结构维度选择企业与发包商的联系强度、联系数量以及频率来衡量；对关系维度则采用企业与发包商之间的信任、互惠与合作三个指标来衡量；对认知维度采用双方沟通效果和价值取向来衡量，结果表明企业社会资本与企业创新绩效间存在密切关系。

对于如何定义企业社会责任，目前学术界尚未形成共识和权威，受政治、经济、环境等因素的影响，不同国家企业社会责任的侧重点有所不同。通过文献梳理，企业的社会责任内涵已经远远超越了企业在社会中所应承担的经济和法律责任，谋求社会福祉促进社会发展才是企业应该遵循的理念和承担的社会责任的主要内容。本文总结前人观点，认为企业社会责任是企业在追求利益最大化的同时能够主动为社会做出相应的贡献，并得到社会的认可。

企业为了更好的适应市场环境，必须具有更多获取社会资源的能力和手段，而社会资本正是通过社会网络为载体来获取各种社会资源，从而使企业得到长期稳定的发展。

3. 研究设计

本文的研究对象为在上证 A 股上市，以及 2017 年间发表并拥有润灵环球（Rankins CSR Ratings, RKS）提供的责任报告的企业，以获得权威和详细的财务数据和企业社会责任信息。并对案例样本进行筛选剔除：（1）考虑到行业特殊性以及对研究结果的影响，剔除金融类的企业数据；（2）剔除财务数据异常或财务风高而被交易所强制处理的 ST、PT 类企业数据，以消除企业盈余操纵对研究结果的影响；（3）剔除当年上市的企业数据，以消除企业盈余操纵对研究结果的影响；（4）剔除财务数据不全的企业；（5）剔除所有会计师事务所未出具标准无保留意见的企业数据，以消除财务数据不确定性对研究结果的影响。通过对数据的筛选和剔除，本文得到 191 家样本企业数据供给 2101 个样本观测值。数据来源于 Wind 金融数据库、国泰君安数据库、同花顺金融数据库、润灵环球责任评级数据库。

在对企业社会责任、企业社会资本和企业竞争优势文献研究的基础上，确定了有关三者的指标体系，并且提出理论假设，随之构建出衡量三者关系的计量模型，通过收集相关的样本数据运用 Stata 统计分析软件对样本数据采取因子分析、描述性统计以及回归分析等，对所提出的理论假设进行了实证检验。

表一 社会资本指标评价体系

评价维度	定义符号	计算公式	文献来源
结构维度	STR1	政府补贴收入自然对数	边燕杰（2000）
	STR2	国有股东控股比例	张芳华（2006）
认知维度	CON1	短期借款/流动资产	边燕杰（2004）
	CON2	长期股权投资/总资产	
	RE1	无形资产自然对数	
关系维度	RE2	前五名客户销售金额/主营业务入	杜俊枢（2014）
	RE3	前五名供应商采购金额/总采购额	

综上，企业社会资本的综合指标为：

$$CSC = \sum Q * XSC \quad n = 1,2,3$$

CSC：企业社会资本综合指数 Q：各个指标的权重 XSC：企业社会资本的 3 个维度

企业竞争优势的一个主要表现就是企业的可持续发展能力，企业的竞争优势即企业的竞争力，对企业而言企业可持续发展的保障是企业竞争力，而企业可持续的竞争能力是企业竞争力的一种动态延续，本质上表现为企业的竞争力，因此企业可持续发展是企业竞争优势的表现形式之一。企业可持续发展的评价标准主要是对公司绩效的衡量，公司绩效的衡量依赖于可量化的企业财务数据，借鉴众多学者的研究并考虑数据的真实性、可获取性。相关变量的计算方法如下：

托宾 Q=市场价值/期末总资产。

市场价值=股权市值+净债务市值，非流通股权市值用流通股股价代替计算。

本文将企业规模和年份作为控制变量。企业规模的不同会影响企业承担社会责任的能力以及企业社会资本的积累，最终会直接影响到企业的竞争优势，因此文章将企业规模（SIZE）作为控制变量来减少其对模型变量的影响，与此同时用企业总资产的自然对数来代替公司规模。宏观经济环境会影响企业经营绩效，所以本文将成立年份（YEAR）作为控制变量，同时将虚拟变量作为其替代变量。综上，本文的变量指标说明如表二所示：

表二 变量说明

变量类型	变量名称	变量符号	计算说明	文献来源
被解释变量	企业竞争优势	CCA	市场价值/期末总资产	孙维峰（2009）
	企业社会责任	CSR	润灵社会责任报告评级分数	罗文兵（2015）
解释变量				Knechel（2010）
	企业社会资本	STR	指标*指标权重	张玉喜（2015）
		CON		程欣炜（2017）
	企业规模	SIZE	期末总资产的自然对数	DeFond(2007)
控制变量	成立年份	YEAR		Knechel（2010）

3.1 模型构建与变量说明

基于以上对各个变量指标的分析与假设，本文构建了如下的模型：

H1:企业承担社会责任能够促进提升企业竞争优势

$$CCA_{it} = \alpha_0 + \alpha_1 CSR_{it} + \alpha_2 SIZE_{it} + \alpha_3 YEAR_{it} + \varepsilon_{it} \quad (1)$$

H2、H3、H4、H5:企业社会资本能够促进企业获得竞争优势

$$CCA_{it} = \alpha_0 + \alpha_1 STR + \alpha_2 CON + \alpha_3 RE + \alpha_4 SIZE + \alpha_5 YEAR + \varepsilon_{it} \quad (2)$$

H6：社会责任与企业竞争优势之间的相关性随着社会资本积累程度升高而加强。

H7：社会责任表现越好，社会资本与企业竞争优势的相关性越强

$$CCA_{it} = \alpha_0 + \alpha_1 CSC_{it} + \alpha_2 CSR * CSC_{it} + \alpha_3 SIZE_{it} + \alpha_4 YEAR_{it} + \varepsilon_{it} \quad (3)$$

在上述模型中，CCA 表示解释变量，即企业竞争优势；CSR 为企业社会责任指数；CSC 表示企业的社会资本综合指数，RE、STR、CON 分别代表企业社会资本信任维度、结构维度和认知维度；SIZE 表示企业的规模；YEAR 表示年份。

4. 实证分析

由于企业社会资本的衡量指标较多，为了在不影响结果的前提下降低计算复杂度，本文对社会资本的指标进行降维处理，即将较多的指标用综合成的能反映绝大部分信息的较少指标代替。以综合指标代替企业社会资本衡量指标研究企业社会责任、企业社会资本以及企业竞争优势之间的关系。

首先根据变量提取值判定因子提取效果，如表三所示，表中给出了 7 个原始社会资本变量共同度，代表每个变量对提取出的所有公因子的依赖程度。从表中看出，85%的变量共同度在70%以上，说明原始变量的大部分信息已经被提取，因子提取的效果比较理想。

表三 变量共同度

	初始	提取
政府补贴自然对数	1.000	0.740
国有股比例（%）	1.000	0.953
短期借款/流动资产	1.000	0.711
长期股权投资/总资产	1.000	0.697
前五销售/主营业务收入	1.000	0.744
前五采购/总采购额	1.000	0.746
无形资产对数	1.000	0.750

提取方法：主成分分析

由于因子分析的目的是从众多的原始变量中综合出少数具有典型性的影响因子，那么这里就存在一个隐性的前提条件，即原始变量之间应该具有较强的相关性，否则因子分析就没有的价值。表四中给出了企业社会资本各变量之间的相关系数及其显著性检验的 p 值。可以清楚的看到，矩阵中存在许多比较高的相关系数且相关系数显著性检验 p 值存在大量小于 0.05 的值，这充分说明大量原始变量之间存在较强的相关性，显然具有进行因子分析的必要性。

表四 相关矩阵

		政府补贴自然对数	国有股比例（%）	短期借款/流动资产	长期股权投资/总资产	前五销售/主营业务收入	前五采购/总采购额	无形资产对数
相关性	政府补贴自然对数	1.000	-0.019	-0.159	-0.075	-0.071	-0.107	0.448
	国有股比例（%）	-0.019	1.000	0.016	-0.066	0.054	-0.040	0.013
	短期借款/流动资产	-0.159	0.016	1.000	0.378	0.284	0.126	0.020
	长期股权投资/总资产	-0.075	-0.066	0.378	1.000	0.104	0.112	-0.009
	前五销售/主营业务收入	-0.071	0.054	0.284	0.104	1.000	0.440	-0.043
	前五采购/总采购额	-0.107	-0.040	0.126	0.112	0.440	1.000	-0.154
	无形资产对数	0.448	0.013	0.020	-0.009	-.043	-0.154	1.000
显著性	政府补贴自然对数		0.399	0.014	0.152	0.166	0.070	0.000
	国有股比例（%）	0.399		0.000	0.000	0.227	0.000	0.429
	短期借款/流动资产	0.014	0.000		0.000	0.000	0.000	0.391
	长期股权投资/总资产	0.152	0.000	0.000		0.077	0.000	0.450
	前五销售/主营业务收入	0.166	0.227	0.000	0.077		0.000	0.278
	前五采购/总采购额	0.070	0.000	0.000	0.000	0.000		0.017
	无形资产对数	0.000	0.429	0.391	0.450	0.278	0.017	

接下来，表五给出了 KMO 检验统计量和 Bartlett 球形检验结果。抽样合适度值 KMO=0.531>0.5，sig=0，拒绝原假设，说明变量不是各自独立的，并且变量间有显著的相关性，进一步证明了采用因子分析是合适的。

表五 KMO 和 Bartlett 的检验

抽样适度值		0.531
Bartlett 的球形度检验	近似卡方	141.971
	自由度（df）	21
	Sig.	0.000

4.1 提取因子

因子分析的目的是以最少的因子来最大程度地解释原始数据中的方差，所以选择主成分法，以特征值>1，因素负荷≥0.50 的判定标准，最终如表 6 所示选取了 4 个综合因子作为原来 7 个企业社会资本衡量指标变量的替代变量。

表六 解释的总方差

成份	初始特征值			提取平方和载入		
	合计	方差的%	累积%	合计	方差的%	累积%
1	1.849	26.408	26.408	1.849	26.408	26.408
2	1.354	19.340	45.748	1.354	19.340	45.748
3	1.119	15.992	61.740	1.119	15.992	61.740
4	1.018	14.538	76.278	1.018	14.538	76.278
5	.671	9.587	85.864			
6	.512	7.315	93.179			
7	.477	6.821	100.000			

这 4 个综合因子对样本的贡献累计达到 76.278%，说明这 4 个综合因子对整体样本的信息反映度为 76.278%，反映了绝大部分信息，作为企业社会资本的替代指标是合理的。进行因子旋转表 7 为旋转后的因子矩阵，可以看出，经过旋转后的负载系数已经明显呈现为分为了四方面：

表七 旋转成份矩阵

	成份			
	1	2	3	4
无形资产自然对数	0.854	-0.089	0.099	0.057
政府补贴自然对数	0.841	-0.017	-0.167	-0.065
前五名供应商采购金额/总采购额	-0.129	0.845	0.008	-0.123
前五名客户销售金额/主营业务入	0.021	0.833	0.181	0.131
长期股权投资/总资产	-0.024	0.002	0.822	-0.143
短期借款/流动资产	-0.037	0.188	0.812	0.117
国有股比例（%）	-0.008	0.000	-0.033	0.975

表中综合因子 1 在无形资产自然对数的载荷为 0.854，在政府补贴自然对数指标上的载荷为 0.841，是载荷最高的两个指标，这两个指标能够一定程度反映企业的商业信誉，企业的商业信誉是一笔无形却重要的资产，影响着企业在社会关系网络中的地位，这企业社会资本的内部影响因素，命名为内部维度（EID）；综合因子 2 在前五名供应商采购金额/总采购额和前五名客户销售金额/主营业务入指标上的载荷较大，反应的是企业与其供应链上企业的关系，是反映企业社会资本的外部影响因素，命名为外部维度（EED）；综合因子 3 在短期借款/流动资产指标的载荷为 0.812，在长期股权投资/总资产指标上的载荷为 0.822，这两个指标均反映企业在资金融资、贷款、投资等与其它金融类机构所发生的联系，命名为资金维度（CTD）；综合因子 4 在国有股比例指标上的载荷较大，反映企业股权结构，命名为股权结构维度记作 ESD。

运用回归方法提取 4 个公共因子得分，再把各个因子的方差贡献率作为每个因子得分的权重计算他们的线性组合，根据成分得分系数矩阵计算出四个综合指标的数据，表 8 为成份得分矩阵：

表八 成份得分矩阵

	成份			
	1	2	3	4
政府补贴自然对数	0.582	0.086	-0.096	-0.069
国有股比例（%）	-0.010	-0.014	-0.011	0.951
短期借款/流动资产	0.016	0.008	0.578	0.123
长期股权投资/总资产	0.011	-0.124	0.610	-0.128
前五名供应商采购金额/总采购额	0.090	0.581	0.010	0.115
前五名客户销售金额/主营业务入	-0.018	0.610	-0.130	-0.135
无形资产对数	0.594	-0.010	0.117	0.055

根据表八，利用综合因子的方差贡献率/累计贡献率作为各综合因子的权重，建立企业社会资本综合评价指标 CSC，计算公式如下：

CSC=26.408/76.278*EID+19.340/76.278*EED+15.992/76.278*CTD+14.538/76.278*ESD

社会责任、社会资本分别对企业竞争优势的影响

首先构建三个回归模型来考察企业社会责任与企业竞争优势、企业社会资本及其因子分析所得的四个综合因子与企业竞争优势之间的关系，检验方程如下：

$$CCA = \alpha_0 + \alpha_1 CSC + \alpha_1 SIZE + \alpha_2 YEAR + \varepsilon \quad (4)$$

$$CCA = \alpha_0 + \alpha_1 EID + \alpha_2 EED + \alpha_3 CTD + \alpha_4 ESD + \alpha_5 SIZE + \alpha_6 YEAR + \varepsilon \quad (5)$$

其中，CCA 表示企业竞争优势为被解释变量；CSR 表示企业社会责任指标；CSC 表示企业社会资本综合评价指数；EID、EED、CTD、ESD 分别表企业社会资本的关系维度、认知维度和结构维度。SIZE 及 YEAR 分别表示文本的控制变量企业规模及年份，首先对模型中各变量的多重共线性检验，避免变量间存在严重的共线性问题，检验结果见表九：

表九 变量多重共线性诊 VIF 值

	CSR	EID	EED	CTD	ESD	CSC	YEAR	SIZE
MODLE1	1.14						1.069	1.186
MODLE2						1.248	1.068	1.292
MODLE3		1.582	1.020	1.045	1.066		1.131	1.680

多重共线性检验结果显示各变量的 VIF 值均小于 2，多重共线性的问题没有出现，因此进行回归分析是合理的，表十是回归结果：

表十 企业社会责任、企业社会资本对企业竞争优势的影响

	MODLE1	MODLE2	MODLE3
CSR	0.114**		
	（1.673）		
EID			0.081***
			（1.005）
EED			0.113**
			（-1.751）
CTD			-0.007*
			（-0.11）
ESD			-0.013*
			（-0.197）
CSC		-0.043***	
		（0.604）	
SIZE	-0.533	-0.477	-0.553
	（-7.695）	（-6.559）	（-6.67）
YEAR	已控制		
R^2	0.631	0.421	0.524
调整后 R^2	0.629	0.418	0.517
F 值	20.035***	18.979***	10.121***

注：***表示 $p<0.01$，**表示 $p<0.05$，*表示 $p<0.1$

　　首先构建模型 1，研究企业社会责任与企业竞争优势的关系，结果显示，企业社会责任的系数为 0.114，并且在 5%水平下显著，表明企业每承担 1 社会责任那么企业竞争优势就会增加 0.114，两者之间存在显著正向促进关系，假设 1 得到支持。这与企业将承担社会责任和周围环境相结合有关。企业通过承担社会责任能够从生产要素、销售渠道、客户需求、相关产业等方面进行改善，为企业节省很多隐形成本，从而在同行竞争中获得竞争优势。模型 2 为企业社会资本与企业竞争优势之间的关系，表中可以看出，企业社会资本在模型 2 中的回归系数为 -0.043，且在 1%水平下显著，说明企业社会资本对企业竞争优势具有显著负向影响，假设 2 未得到支持。这种负向影响可能由于快速变化且不确定的外部环境导致企业前期建立的处于主导地位的稳固的社会资本被削弱或者改变，另外政府的不适当干预和企业的过度依赖也是造成企业社会资本对企业竞争优势消极影响的原因之一。接下来构建模型 3 研究企业社会资本各维度对企业竞争优势的影响。结果显示 EID、EED、CTD、ESD 的回归系数分别为 0.081、0.113、-0.007、-0.013，且在 EID 在 1%水平下显著，EED 在 5%水平下显著，CTD 和 ESD 在 10%水平下显著，表明企业社会资本能够显著影响企业竞争优势，但是不同维度对企业竞争优势影响方向和程度不同，内部维度（EID）和外部维度（EED）都是与企业与其它主体之间的关系，因此表明关系维度对企业竞争优势为正向影响，假设 3 得到支持，资金维度（CTD）和股权维度（ESD）反映的绝大部分信息为企业社会责任的结构维度和认知维度，其与企业竞争优势呈现负向关系，因此假设 4 和假设 5 未得到支持，这可能是由于企业社会资本网络之间的"结构洞"造成的，这种"结构洞"是由于企业社会资本网络具有自我封闭的特征，使得每个网络内部所拥有的资源是同质的但是与其它网络之间的关联性差，这对于企业竞争优势而言并没有起到积极作用，反而带来更多势均力敌的竞争者。

4.2 企业社会责任的调节作用

本文首先将企业社会责任作为调节变量，研究企业社会责任对企业社会资本综合指数与企业竞争优势调节作用，进而探究企业社会责任与企业社会资本对企业竞争优势的协同影响，因此，构建如下多元线性回归模型

$$CCA = \alpha_0 + \alpha_1 CSC + \alpha_2 CSR + \partial_3 SIZE + \alpha_4 YEAR + \varepsilon \ (6)$$

$$CCA = \alpha \ + \alpha CSC + \alpha CSR + \alpha CSRCSC \ + \alpha SIZE + \ YEAR + \ (7)$$

其中，CCA 为被解释变量，表示企业竞争优势；CSC 表示企业社会资本综合指数；CSC*CSR 表示企业社会责任和企业社会资本的交互项；SIZE 及 YEAR 是企业的规模及成立年份作为回归模型中的控制变量存在，各模型的回归列表见表十一所示：

表十一 变量多重共线性诊 VIF 值

	CSC	CSR	CSC*CSR	YEAR	SIZE
MODLE4	1.257	1.148		1.073	1.389
MODLE5	1.078		1.162	1.086	1.308
MODLE6	1.219	1.165	1.401	1.088	1.398

回归模型 4-6 中所有变量的 VIF 值均小于 2.0，不存在较严重的共线性问题，因此可以进行回归检验，回归结果如表十二所示：

表十二 企业社会责任的调节作用

	MODLE4	MODLE5	MODLE6
CSC	-0.053***	-0.025***	-0.012***
	(-0.749）	(-0.986)	（-0.834）
CSR	0.118**		0.112***
	(1.728）		(1.634)
CSC*CSR		0.219***	0.168***
		(0.85)	(0.65)
SIZE	-0.512	-0.484	-0.515
	(-6.816)	(-6.608)	(-6.835)
YEAR	已控制		
R^2	0.529	0.648	0.627
调整后 R^2	0.524	0.641	0.623
F 值	15.131***	14.394***	12.152***

注：***表示 $p<0.01$，**表示 $p<0.05$，*表示 $p<0.1$

比较分析企业社会资本综合指标与企业竞争优势的回归模型，其中 CSC 的回归系数为-0.043，当在模型 2 中引入社会责任指标进行回归即得到模型 4，结果显示企业社会资本的回归系数反而降低为-0.053，原因可能是一方面，近年来一些企业高速增长背后的"贪婪""不负责"行为被不断揭露后，倡导 CSR 呼声高涨，但实践中，许多企业被动的履行社会责任，进行的社会活动也很牵强，甚至还弄虚作假有关。另一方面，企业承担社会责任受到相关制度的制约，企业在相关法律不完善的情况下无法保证自身利益以及承担社会责任为社会带来的利益而不愿意承担社会责任，而且一些企业为了自身获取更多利益，还会利用这种不完善想尽办法将成本转

移给社会或其它市场参与者而不受到任何惩罚，这就使得企业间的竞争不公平。在模型 4 中加入企业社会责任与企业社会资本的交互项 CSC*CSR 后，得到模型 6，观察系数得交互项系数为 0.168 正向显著,且企业社会资本的系数-0.053 变为-0.012，斜率变小，在模型 2 中加入 CSC*CSR 得到模型 5，加互相系数为 0.219，正向显著，比较模型 2 和模型 6 的企业社会资本系数，同样负向作用有缓解，由-0.043 变为-0.025，因此得到企业社会责任对企业社会资本与企业竞争优势的关系中起到了缓解负向关系的作用。

5. 结论与建议

变化莫测的外部环境给企业带来了机遇与挑战，企业只有通过各种途径来构建、增强自己的竞争优势，实现长久立业。企业发展初期通常以生存和营利为主要目标，不会讲企业社会责任放在战略位置，但随着经济社会的发展，社会责任的重要性地位发生了实质性的转化，而且不再是单个人或组织的任务。因此，需要结合政府、企业和社会各组织的资源和能力，共同履行好社会责任。

企业应当树立正确的社会责任观，正确地看待履行社会责任与企业竞争优势之间的关系。在早期的管理学研究中，企业社会责任由于不具有提高生产力的属性而被忽视，而且承担社会责任需要耗费一定的企业资源，所以承担社会责任往往不会成为企业的主动选择。企业社会责任对于很多企业讲并不是主动接受的，很多情况下是迫于外界压力而不得不去承担，社会责任通常被视为一种负担。因此，改变企业管理理念，将长远经营和社会利益放在企业经营的战略位置，才是正确对待企业社会责任的方式。将经济效益与社会效益结合，企业只有将企业社会责任放到企业战略中，才能构建起企业的竞争优势，从而最终实现企业的可持续性发展。

后续研究者依然可以从以下几个角度进行更为深层次的研究：

一，对于本文中所采取的对于企业社会责任履行程度、企业社资本积累水平和企业竞争优势的评价体系的全面完整性有待进一步优化完善。

二，本文对企业社会责任、企业社会资本对企业竞争优势的协同影响主要是采用因子分析和多元线性回归的实证分析方法，此外，在对企业社会责任、企业社会资本和企业竞争优势的相关研究中，可采用多种实证研究方法。因此，对变量的实证研究有待进一步完善。

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An Empirical Study on Cultural Leisure Life Level Influence on the Growth of Human Capital by Viewpiont of Leisure Economics

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Abstract

From the viewpoint of the leisure economics, this paper empirically studied by the gravitation model and the state-space model and found that there was a cointegration relationship between the level of cultural leisure life and the level of the human capital. The cultural leisure life highered the level of human capital from two way, one was maintaining effect, another was lift effect. The elasticity of production to human capital by cultural leisure life increased first then declined step by step because of the law of diminishing marginal utility, at last became stable, as traditional style for leisure, the issue of books and the product of story films did not promote the growth of the human capital significantly, yet the tour, the social organization as well as institutional clean had significant positive result on growth of human capital. At the end of this paper, we gave some advises for this field considered.

休闲经济视角下文化休闲生活对人力资本增长影响的实证研究

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摘要

在休闲经济视角下，本文通过引力模型和状态空间模型研究发现：休闲生活水平与人力资本水平具有长期稳定的协整关系，休闲生活对人力资本有两个方面的促进作用，一是明显的维护效用，二是显著的提升作用。休闲生活对人力资本产出弹性的变化相对比较稳定，有先升后降再逐年稳定的趋势，原因在于边际效用递减规律，作为传统休闲方式的电影生产、图书发行对人力资本水平的增长没有显著的促进作用，而旅游、组织、社团及其活动与制度的清廉对人力资本的提升有明显效果，而本文最后则对此提出了相关的建议。

关键词：休闲经济；文化休闲生活水平；人力资本水平；引力模型；状态空间模型

1. 引言与假设的提出

随着人类进入二十一世纪，休闲在人们工作生活中的地位越来越重要。事实上，自 19 世纪末凡勃伦的经典著作《有闲阶级论》发表以来，休闲经济理论研究受到了众多学者的关注（Veblent ,1899,1953)，相关的代表人物如庇古（Pigou. A,1920)、奈特（Knight.P,1921)、罗宾斯（Robbins.L,1930)、明瑟（Mincer.J,1962)、贝克尔（Becker.G.S,1965)、林德（Linder.S,1970)、布洛克（Block.F,1973)、哥荣瑙(Gronau.R,1977) 、阿波特和阿深费尔特（Abbott&Ashenfelter.O,

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1976）、威乐斯和伍德兰(Wales.J&Woodland.A.D, 1977)、马克森和瑞雷（Maskin.E&Riley.J1980）、库勒曼和卡普腾(Kooreman.P&Kapteyn.A,1987)、科克斯(Kokoski .M.F,1987)等。这些学者的研究成果，丰富了休闲经济理论。

20 世纪 90 年代后，又有不少休闲经济研究的理论成果问世。这些研究成果大体可归为三类：第一类是从时间分配角度研究休闲；第二类是从劳动供给角度研究休闲；第三类是从家庭生产角度研究休闲（郭鲁芳，2004）。

从城市生活质量角度看,高水平的生活质量往往伴随高的人力资本水平,有资质的劳动力,是度量一个城市生活水平以及竞争能力不可或缺的指标（Paulo Morais • Vera L. Migue´is • Ana S. Camanho，2011,2014）,然而受限于视角,上文中谈到的生活质量并不是本文所特指的文化休闲生活,且上述的众多休闲经济理论研究并未涉及到人力资本，这不能不说是一个遗憾。

另一方面，从人力资本理论发展的角度来看，绝大多数理论围绕在人力资本投资与管理、人力资本专用性与创新、人力资本与制度变迁以及人力资本与经济增长等等方面，（代谦，别朝霞，2006；陈浩，2007；梁超，2012）领域众多，却唯独没有涉及休闲对人力资本维护和增长方面的研究，这又是一大遗憾。

为此，本文基于休闲经济视角，研究文化休闲生活水平与人力资本增长的关系，力图说明休闲生活对人力资本的积极作用。

从生物学的角度，无论是动物的活动（包括捕食等）还是人类的劳动（包括体力与脑力劳动）是一种能量的消耗，当能量消耗到一定程度的时候，出现体力与脑力的下降。这时为了恢复体力需要停止活动或者劳动，进行必要以及恰当的休息，这种休息包括身体活动的静止与睡觉，以及进食等。但是人类的休闲方式与动物的休息方式又是不一样的，人类的休闲带有文化的色彩以及更加偏重于脑力活动的修整与提升。因此人类的休闲方式被称为文化休闲生活，文化休闲可以促进儿童与青少年的创造力（Cook,2018; Anna Sparrman,2019），显而易见，创造力是人力资本中最重要的能力，证据还表明文化休闲活动和人的健康(Bygren et al. 2009 ;Cho, Post,, & Kim, 2017)、生存(Väänänen et al. 2009)、降低焦虑和处理工作压力(Iwasaki et al. 2005; Cuypers et al.2011).，增加生活满意度和工作幸福感(Kilroy et al. 2007; Cuypers et al.2011; Tuisku,2011, Oman & Taylor, 2018, Susan Oman ,2020)有关。休闲方式的选择，影响人们（老人）的生活质量，更是影响人们（老人）的身心能力（Chang, Wray, & Lin, 2014; Cho, Post,, & Kim, 2017 ）。这些文献及其研究结论，表明了文化休闲生活与人力资本的重要关系；根据生物学、生活观察实践以及前面文献的研究，本文提出如下假设 1：

H1:人类文化休闲生活的水平的提升（或降低）显著地提升（或降低）人力资本水平

从生活经验上看，文化休闲的方式有多种多样，从地点上看主要分为室内与室外两种，主要的方面无外乎（1）旅游；（2）看电影、小说或观看文艺汇演等；（3）上网与游戏；（4）参加社团活动；（5）购物；（6）健身与体育运动；（7）其他（如睡觉、聚餐、交友、慈善等）Piotr Zmyslony and Karolina Anna Wędrowicz（2019）将城市休闲类型概况为：城市艺术与文化节、昼夜社会点活动、露天电影、严肃休闲事件、室外舞蹈区、当地粉丝区、烹饪美食区、海滩与近水区、街头游行与行军区九大类。这些休闲方式，虽然并没有穷尽所有类型，但已经囊括了城市休闲的本质，这些文化休闲活动，有的有数据与记录，有的没有。

本文认为,文化休闲生活如工作一样重要,它对人力资本水平的提升主要表现在如下方面：

第一，文化休闲生活是人力资本维护和保持的重要方式。人们从事生产劳动以后，身心疲惫，需要休闲，借以恢复和保持体力和脑力，为下一阶段的生产和劳动提供必要的劳动力。以静坐为例，台湾杨定一博士（2014,2018）认为，静坐有益于改善身心健康，通过自律神经系统的调节，重塑神经系统回路，缓解肌肉以及心智过重的紧张，缓和心跳、呼吸、内分泌反映的速度，让身体重回和谐与完整，提升心智水平。David Kaufman , Mi Ok Chang & Alice Ireland(2018)认为，成年人中日复一日的休闲，反映和刺激了成年人的生理、认知和社会能力，为生活质量贡献了力量，这里的生理、认知和社会能力的刺激，是在日复一日的休闲时光中完成的。（量的保持）

第二，文化休闲生活是人力资本提升的重要途径。从市场经济的角度看，文化休闲模式的改变影响消费模式和经济模式（Piotr Zmyslony and Karolina Anna Wędrowicz，2019），影响人们的生活满意度和工作敬业度以及幸福感（Oman & Taylor, 2018, Susan Oman ,2020），从社团的角度看，V. O. Ighodaro (2019)认为，参加文化休闲活动可以增加社团的和谐与力量，这种文化休闲看起来像社会测试和争辩的有价值的论坛，是一种培养创造力与创新的方式，也是社会与经济发展必要的对话方式。人们在休闲生活当中，参加一些社团活动、或者看电影读书、旅游以及参加健身或文艺汇演等，都是人们获得知识、信息的重要方式，从行为经济学的角度，人们的休闲生活是人们了解社会、增长知识与才干最重要的实践方式之一，这种实践方式不仅提升了人们的体力，而且提升了人们的脑力。（质的提升）

第三，文化休闲生活是人力资本形成的投资方式。以投资静坐以及参加各种组织灵修活动为例，杨定一博士（2014）认为投资于各种静坐以及灵修活动有助于改善人际关系，这种人际关系的改善是通过个人行事作风与带人接物的改善而达成的。人力资本、组织资本和关系资本是现代无形资本三大形态，而其中人力资本又是具有决定性的形态。文化休闲活动的参与是自我展示和社会地位的象征，文化休闲定义了集体的愿景和边际，文化休闲偏好定义了个人的身份((Lamont and Molnar, 2001; V. O. Ighodaro , 2019)，在人们的休闲生活当中，人与人之间不可避免地发生交互关系，这种交互作用很可能产生新的身份，确定新的关系资本，从而从另一角度形成新的人力资本，宗教信仰与活动是伦理的基础，他的作用在于把个人的行为整合到组织行为当中，给予个人面对生活困难与危机的自信；另外，这种信仰活动带给个人核心价值，影响到个人的方方面面，更有甚者，这种信仰冲击使沉浸在艺术、教育、科学等领域，吸收必要的能力（ROBERT H. LOWIE，1963），由于人们在休闲生活当中参加各中各样的社团组织活动，由此而形成的组织资本与关系资本，有助于新的人力资本的产生。（种类的增多）

人类社会进入知识经济时代后，有三个如下事实需要注意：

第一，社会经济与企业的激烈竞争进一步加剧，造成劳动强度的增加和劳动时间的延长，这种状况使得休闲时间减少和代价昂贵，休闲变得越来越奢侈，这被称为时间压力与时间贫困（Kalenkoski, C. M., Hamrick, K. S., & Andrews, M. ,2011; Newport, Frank 2015；Wajcman, J. , 2016）。这种休闲与工作时间分配的单调性似乎使得休闲对人力资本的影响也是单调的，假设劳动强度与劳动时间单调递增，而文化休闲时间单调递减，那么我们预计文化休闲水平对人力资本的正向影响是逐年递增的；

第二，由于网络的普及与传播途径的增长，青少年文化休闲方式呈现网络化与数字化，比以往含有更高的信息性、知识性与技能性，影响到他们未来的胜任力（Kirsten Drotner，2008），

由于信息、知识的效用的决定影响因素复杂（Russell Golman and George Loewenstein,2016），其对人力资本的影响也是非线性的，随着知识经济的深入，人力资本在很多时候更加依赖知识与信息的获取，更由于知识的溢出效应（Arrow, 1962; Zoltán J Acs, David B Audretsch, Pontus Braunerhjelm and Bo Carlsson,2009; Philippe Aghion and Xavier Jaravel,2015）具有外部性，知识与信息对人力资本的效用也许是递增的，在人力资本中的作用表现为逐年递增性；

第三，知识经济中的企业研发与创意产业（比如电游开发、软件编程，网络经济等）比以往任何时代都显得更为重要，也更加注重具有创造力与创新能力的人力资本，但创造性与创新性的人力资本需要更多轻松的氛围和休闲时光，玩耍、休闲是再创造的基础，（Daniel McLean , Amy Hurd , Denise M. Anderson ,2017），由此可见，在创意或者研发方面，略微增加的休闲可能带来极大的创意性人力资本恢复，因此，休闲对人力资本的正向影响是递增的。

基于上面的事实，本文还提出如下假设 2：

H2:休闲生活水平对人力资本的产出弹性是逐年上升的

上述三点只是理论的假设和观察的结果，到底休闲经济视角下的休闲生活如何影响人力资本，到现在为止还没有实证结论。本文的接下来建立实证模型并确定研究方法，在此基础上进行实证结果分析，最后针对实证结果进行总结并提出可行的政策建议。

2. 实证方法与分析步骤

为了有效研究上述观点与假设，选择恰当的实证方法与分析步骤是必要的，科学合理的方法，才能获得科学合理的结论。方法与步骤展开如下：

2.1 模型理论原理与实证模型的设定

在考虑实证模型的建立时，我们主要考虑模型的经济性和实用性，根据"奥卡姆剃刀"原则，尽力简化模型的数学复杂性，突出其经济学含义。记人力资本水平为 HC，正如本文所指出的那样，休闲生活基本上从两方面获得效用，第一种是对人力资本水平的维护效用，该效用记为 U1，另一种是对人力资本的质的提升效用，该效用记为 U2，那么总效用

$$U = U_1 + U_2 \quad (1)$$

为了简单起见，假设资本水平 HC 与总效用 U 成正比，且

$$HC = k * U \quad (2)$$

考虑到（1）式，很容易知道：

$$HC = k(U_1 + U_2) = kU_1 + kU_2 \quad (3)$$

（3）式表示，休闲生活对人力资本水平的影响由两部分组成，KU1 代表维护效用，KU2 代表提升效用。维护效用和提升效用对人力资本的影响不同：维护效用对人力资本水平可能维护得好，也可能维护得不好，它会造成人力资本的波动，因此，KU1 相当于水平扰动项，故可令

$$kU_1 = AZ = \alpha_0 + \alpha_1 z_1 + \alpha_2 z_2 + ... + \alpha_n z_n \quad (4)$$

其中 Z 是休闲生活内容列向量 $Z = (z_1, z_2, ..., z_n)'$, $A = (\alpha_0, \alpha_1, \alpha_2, ..., \alpha_n)$ 是休闲生活内容带来的边际效用矩阵，元素 an 可正可负，n 为整数。另外，提升效用部分 KU2 是从质量上提升人力资本，所以它是生产性的。我们假定，休闲生活的选择完全取决于生活内容列向量 Z 的吸引力，那么据此，我们可令 KU2 取引力模型形式：

$$kU_2 = \frac{z_1^{\beta_1} z_2^{\beta_2} ... z_n^{\beta_n}}{\prod_i^n d_i(z_i)}, i = 1, 2, 3, ..., n \tag{5}$$

引力模型来源于物理学，Tinbergen (1962) 最早将引力模型应用于国际贸易，认为两国的双边贸易流量与两国经济规模成正比，与两国距离成反比。因为引力模型原理简单、数据适用，该模型已被广泛应用于国际贸易和休闲经济等领域，（Walsh,2006；周念利，2010）而这里的引力模型是在以前引力模型的基础上改造而成的，其中，di(zi)为第 i 项休闲生活内容 zi 的成本函数，该成本函数表示一种心理距离，成本越大，则心理距离越大，吸引力就越小。而 $\beta_1, \beta_2, ..., \beta_n$ 则表示文化休闲内容的吸引弹性。由（3）式、（4）式和（5）式可得：

$$HC = k(U_1 + U_2) = kU_1 + kU_2 = \alpha_0 + \alpha_1 z_1 + \alpha_2 z_2 + ... + \alpha_n z_n + \frac{z_1^{\beta_1} z_2^{\beta_2} ... z_m^{\beta_m}}{\prod_i^m d_i(z_i)} \tag{6}$$

我们假定维护效用和提升效用分别起作用，互不相干，休闲生活内容中提升效用的内容为 $(z_1, z_2, ..., z_m)$ 且提升效用以概率 ρ 影响人力资本，那么就有：

$$\rho * HC = \frac{z_1^{\beta_1} z_2^{\beta_2} ... z_m^{\beta_m}}{\prod_i^m d_i(z_i)} \tag{7}$$

$$(1 - \rho)HC = \alpha_0 + \alpha_1 * z_{m+1} + \alpha_2 * z_{m+2} + ... + \alpha_n * z_n \tag{8}$$

把（7）式两边取对数，（8）式两边同除（1-ρ），重新改写上式得：

$$\ln HC = \beta_1 \ln z_1 + \beta_2 \ln z_2 + ... + \beta_m \ln z_m - \ln \rho - \sum_i^m \ln d_i(z_i) \tag{9}$$

$$HC = \frac{\alpha_0}{1 - \rho} + \frac{\alpha_1}{1 - \rho} z_{m+1} + \frac{\alpha_2}{1 - \rho} z_{m+2} + ... + \frac{\alpha_n}{1 - \rho} z_n \tag{10}$$

选择恰当的休闲生活内容 Z 向量，考虑到 $d_i(z_i)$ 与 *1-P* 通常为某一确定值，那么，通过（9）式或者（10）式，我们就可以进行实证分析。

2.2 变量的选择、数据来源与处理

为了描述人们的文化休闲生活水平（IQ），基于数据的可得性，我们选择如表 1 中所示变量指标和数据。其中，休闲生活水平(IQ)由生产故事影片数(FILM)、图书出版种类(BOOK)、社会组织个数(ORG)、国内旅游人数(TOUR)四大指标准化（将各指标数值化为 0 到 10 之间）以后取几何平均值产生，这种指标的选取首先受限于数据的可得性，其次从休闲的方式上看，这些指标具有充分的合理性。

清廉指数(CLEAN)也是腐败指数，数值越大表示制度越清廉，它是国际透明组织长年对全

球各国进行调查的结果，全球清廉指数的数据来源是由一些专家学者从国际上重要、著名的调查报告中(如世界权威的"盖洛普"、"政治与经济风险组织"、"世界经济论坛"等机构和组织所作的调查报告)提取有关人士对各个国家腐败程度的感觉和评判数据，加以综合评估，给出分数。作为制度环境控制变量存在，其合理性非常高：首先制度的公平与否在于官不与民争利，其次

表一 本文所用休闲生活水平与人力资本数据表

变量名称 符号 年份	人力资本水平 HC	生产影片(部) FILM	图书出版(种类数) BOOK	社会组织个数 ORG	清廉指数 CLEAN	国内旅游人数 TOUR	文化休闲水平 IQ
1988	0.4376	158	65962	4446	4.73	430*	0.118808416
1989	0.4488	136	74973	7650	4.73	440*	0.136109826
1990	0.46	134	80224	10855	4.73	450*	0.151378035
1991	0.4716	130	89615	44801	4.73	460*	0.221356562
1992	0.4832	170	92148	78746	4.73	480*	0.277396606
1993	0.4948	154	96761	112692	2.43	500*	0.302706007
1994	0.5064	148	103836	146637	2.43	524	0.329644724
1995	0.518	146	101381	180583	2.43	629	0.360088485
1996	0.5278	110	112813	184821	2.43	640	0.348073356
1997	0.5376	88	120106	181318	2.88	644	0.333306314
1998	0.5474	82	130613	165600	3.5	695	0.333204876
1999	0.5572	90	141831	142665	3.4	719	0.338271182
2000	0.567	91	143376	153322	3.1	744	0.349280078
2001	0.5768	88	154526	210939	3.5	784	0.3872481
2002	0.5866	100	170962	244509	3.5	878	0.437695658
2003	0.5964	140	190391	266612	3.4	870	0.498647159
2004	0.6062	212	208294	289432	3.4	1102	0.612611564
2005	0.616	260	222473	319762	3.2	1212	0.688089662
2006	0.6254	330	233971	354393	3.3	1394	0.785879518
2007	0.6348	402	248283	386916	3.5	1610	0.887981465
2008	0.6442	406	274123	413660	3.6	1712	0.942225165
2009	0.655	456	301719	431069	3.6	1902	1.030578794
2010	0.689	526	328387	445631	3.5	2103	1.127967514
2011	0.695	558	369523	461971	3.6	2641	1.259402924
2012	0.699	745	414005	499268	3.9	2957	1.46078644
2013	0.727	638	444427	547245	4	3262	1.49993251
2014	0.738	618	448431	606048	3.6	3611	1.569295225
2015	0.742	686	475768	662425	3.7	4000	1.714861351
2016	0.749	772	499884	702405	4	4440	1.862577169
2017	0.753	798	512487	761539	4.1	5001	1.986592022
2018	0.758	902	519250	817360	3.9	5539	2.145887486

注：*表示缺失数据的直线法估计数据，各数据来源于联合国、透明国际网站、中国统计年鉴。

制度设计的合理性在于政府官员不能采取机会主义，以权谋私，再次因为政府官员是企业（尤其是国有企业）和事业单位人力资源的使用者与管理者，其本身的品德直接影响人力资本的使用方向与范围，最后制度的腐败与清廉直接在价值观上影响人力资本的发展。

在人力资本水平(*HC*)指标的选择上，考虑到人类发展水平由收入、健康和教育组成，其中收入代表人力资本的创造力水平、健康代表体力状况以及教育代表脑力水平，很能说明一个国家的人力情况，故在本文中使用联合国网站公布的人类发展指数作为人力资本水平的综合指标。人力资本水平、清廉指数数据分别来源于联合国、透明国际网站，其余数据都来自中国统计年鉴。其中国内旅游人数缺 1988 年至 1993 年的数据，本文用直线法对相关数据进行了补充。

2.3 分析的步骤

为了有效研究休闲生活水平和人力资本水平的关系，我们采取三个步骤对数据进行处理：

第一步，先就各变量原值和对数值分别进行了 ADF 单位根平稳性检验，检查各变量的平稳性，并用 Johansen 法检验休闲生活水平 IQ 和人力资本水平 HC 的协整关系。

第二步，根据数据平稳性选择使用（对数值）总线性回归方程进行分析，再根据变量平稳性结果，将各解释变量分配到相应的提升效应方程与维护效应方程，分析文化休闲生活水平之分变量对人力资本水平的具体影响。

第三步，使用状态空间模型来分析文化休闲生活对人力资本水平产出弹性历年变化趋势，就文化休闲生活影响人力资本状况做一个历史与动态的分析。状态空间模型如下：

$$\ln HC_t = SV1_t * \ln IQ_t + SV2_t * \ln clean + d_t + \mu_t \text{ (11)}$$

$$SV1_t = \phi SV1_{t-1} + c_{1t} + R_{1t}\varepsilon_t \text{ (12)}$$

$$SV2_t = \varphi SV2_{t-1} + c_{2t} + R_{2t}\upsilon_t \text{ (13)}$$

其中，（11）式为测量方程，*lnHC*、*lnIQ*、*lnclean* 分别是对数化的人力资本水平、文化休闲水平以及制度清廉水平；（12）(13)式为状态方程。其中 SV_1 与 SV_2 为状态变量；其余为扰动项或控制变量等。

3. 实证结果的分析

根据前面的方法得到相应结果分析如下：

3.1 数据平稳性与协整关系检验结果分析

根据第一步的方法,数据平稳性检验结果见表二在原值中,除图书出版种类是 2 阶平稳外,

表二 ADF 单位跟检验结果表

符号	*HC*	*FILM*	*BOOK*	*ORG*	*CLEAN*	*TOUR*	*IQ*
变量名称	人力资本水平	生产故事影片	图书出版(种类)	社会组织个数	清廉指数	旅游人数	文化休闲生活水平
原值	0阶平稳	1阶平稳	2阶平稳	1阶平稳	0阶平稳	1阶平稳	1阶平稳
对数值	0阶平稳	1阶平稳	1阶平稳	0阶平稳	0阶平稳	1阶平稳	0阶平稳

　　人力资本和清廉指数是0阶平稳，其余变量是1阶平稳，而在对数值中，生产影片数、图书出版种类以及旅游人数是1阶平稳，其余都为0阶平稳。

　　由于对数化的文化休闲水平与人力资本水平具有同阶平稳性，故可以对它们进行协整检验，它们的协整检验结果见表三。

表三 0.05 显著水平下 Johansen 协整关系综合检验结果表

Data Trend:	None	None	Linear	Linear	Quadratic
Test Type	No Intercept No Trend	Intercept No Trend	Intercept No Trend	Intercept Trend	Intercept Trend
Trace	2	1	0	0	0
Max-Eig	2	0	0	0	0
*Critical values based on MacKinnon-Haug-Michelis (1999)					

　　表3综合检测的结果表明：变量通过最大特征跟和迹检验，文化休闲生活水平和人力资本水平有长期稳定的协整关系。

3.2 回归分析

　　根据第二步的方法进行回归分析，其中总方程、提升效用方程和维护效应方程对应的回归结果如下表四所示。

　　对回归结果分析如下：

　　（1）通过回归结果表 4 总回归方程看出，休闲生活水平和人力资本水平在 1%的显著水平下正相关，休闲生活水平对人力资本水平的提升有明显的促进作用，休闲生活水平对人力资本水平的平均产出弹性约为 0.199，即休闲生活水平变化率每变动（增加或减少）一个百分点，人力资本水平变化率跟着变动（增加或减少）0.199 个百分点。休闲生活水平和人力资本水平有长期稳定的协整关系。

表四 总方程、维护效用方程以及提升效用方程回归结果表

总回归方程		提升效用方程		维护效用方程	
C	-0.179214*** （-63.12812）	C	-0.256829*** （-8.06）	C	-1.076687*** （-18.10）
$LNIQ$	0.198578*** （30.05565）	$\triangle LNFILM$	0.1267212 （0.69）	$LNORG$	0.1297786*** （16.07）
		$\triangle LNBOOK$	-0.4026359 （-0.55）	$LNCLEAN$	0.29691878*** （5.50）
		$\triangle LNTOUR$	1.174062** （2.37）		
R-squared	0.968896		0.2819		0.9022
D-W值	0.357988		0.655008		0.923732

注：***、**、*分别表示1%、5%、10%显著水平，括号内为T统计量，C为常数项。

（2）从表 4 的提升效用方程看出，休闲生活当中，图书出版种类和故事电影数在 5%的显著水平下和人力资本无关，它们在提升人力资本水平方面效果不显著，没有促进了人力资本水平的发展。

图书种类的估计系数符号为负，可见休闲生活中图书种类的增加和消费不但没有对人力资本产生促进作用，反而还抑制了人力资本的发展，当然，这种负效应是不显著的，估计系数为零的概率非常大。之所以如此，和图书的发行并没有满足市场的需求有关，很多图书及其种类都是粗制烂造，重数量而不重质量，读者读后根本没有提升自己的知识或者能力，既没有丰富了人们的生活，扩大了人们的视野，在知识上促进了人力智力的发展，也没有提供了人力资本发展的道德辅助和智力支持。

电影没有提升人力资本的可能性原因在于电影的投入过大，电影的内容缺少智力性以及电影票太贵所产生的负效应大于电影的正效应。还有一个可能的原因在于电脑网络以及智能移动终端的兴起与发展，致使传统的文化休闲方式（包括看电影）对人力资本影响力下降，从而形成对传统休闲的替代。

旅游是最能维护和保持人力资本的，因为旅游在 5%的显著水平上和人力资本正相关，旅游的人数增加，伴随着人力资本水平的提升，旅游恢复了人们的体力，在开阔人们视野的同时，几乎和不同地区的人情世故打交道、交朋友，在相互的交流中看见对方的优势、地区的资源、以及潜在的市场与商机，故旅游在恢复体力和增加脑力知识等方面的效用十分明显。这和我们的预期和经验是相一致的。

（3）从维护效用方程看，社会组织与社团的个数增加，提供了人们相互交往的场所和平台，这种相互交往的场所和平台一方面沟通了人们自身发展所需要的经验和信息，另一方面由于参与社团活动而增长了知识和才干，给社会和自身带来了新的关系资本和组织资本，从而促进了人力资本尤其是人们知识和技能的增长。

制度的清廉在维护人力资本方面有明显的效果，作为控制变量，制度的清廉增加了人们对未来的信心与良好期望，激发了人们通过提升自身知识、能力来创造美好的未来热情和动力，对人力资本产生积极效应，可见制度的清廉本身和人力资本有直接关系，是人力资本提升的最重要的环境因素。虽然制度清廉对人力资本影响机制极其复杂的，但这种正相关关系是十分明显的。

3.3 状态空间模型动态分析

根据第三步方法建立状态空间模型，在 EVIEWS 软件中使用如下命令：

@signal lnhc=c(1)+sv1*lniq+sv2*lnclean+[var=exp(c(2))]

@state sv1=c(3)*sv1(-1)+[var=exp(c(4))]

@state sv2=c(5)*sv2(-1)+[var=exp(c(6))]

输出结果，其相对应的休闲生活对人力资本产出弹性变化趋势则见图 1：其中上图是状态变量 SV1 作为文化休闲生活水平对人力资本水平产出弹性的历年变化趋势（一步向前预测数据），下图是状态变量 SV2 作为制度清廉对人力资本的产出弹性历年变化趋势，也是由一步向前预测数据给出。

通过状态空间方程对产出弹性的动态研究发现：随着时间的推移，休闲生活水平对人力资本产出的弹性相对比较平稳。如图 1 上图所示，从 1988 年开始，产出弹性 SV1 一开始的几年是上升的，在 1995 年最大，1996 年后略有下降，一直保持在 0.198 左右。只所以出现这种状况，主要原因在于：

第一，在 1995 年以前，人们的休闲生活水平很低，同时，人们在健康收入和教育方面也很低，出现所谓休闲生活和人力资本水平"双低"的现象，在这种情况下，人力一方面急于提升自己的人力资本水平（尤其是教育，78 年以后才恢复高考），另一方面，人们也迫切想提升自己文化休闲水平（尤其是电视的需求等），这样使得任何休闲生活水平变化率的细微变动，都能够引起人力资本水平变化率较大的变动，这也就大体上解释了休闲生活对人力资本产出弹性在 1995 年以前上升较快的原因。
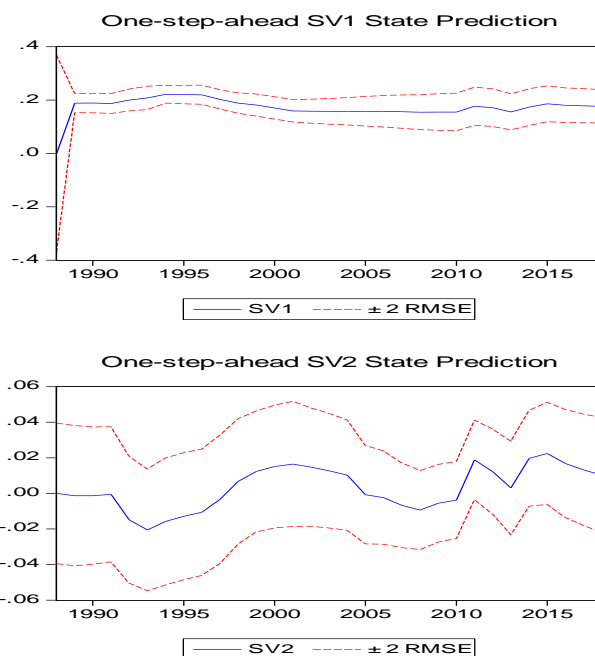
图一 状态空间休闲生活水平以及制度清廉对人力资本水平产出弹性变化趋势图

第二，随着时间的推移和社会的演变，1996 年到 2010 年，出现休闲生活对人力资本水平维护和提升的"递减效应"，不过这种递减效应不很明显，所以产出弹性略微下降，这种下降原因在于网络的兴起，网络的兴起部分替代了传统的图书、电影、组织活动以及旅游。致使后者的

影响力下降。文化休闲对人力资本的提升越来越出现有限性。

第三，2010 年以后到现在，产出弹性逐步稳定在 0.198 左右，只所以出现这种格局主要在于智能移动和网络在中国的兴起并逐步走向成熟，这种更快捷方便与智能化新型的休闲生活方式从知识和信息上给人力发展带来极大的帮助，所以产出弹性不但不下降，似乎还有细微的提升。

制度的清廉对人力资本产出弹性呈现波浪式上升，从总体上看，制度清廉对人力资本水平的产出弹性是逐渐上升的，其中 1988 年、2001 年、2011 年、2016 年是波峰，而 1993 年、2008 年以及 2013 年是波谷，预计 2020 年将形成新的谷底。

总之，休闲生活水平从两个方面影响人力资本的增长，即维护效用和提升效用。这证实了假设 1 的观点，而文化休闲水平对人力资本产出弹性的逐年增加却不成立，因为数据表明这种产出弹性是长期相对稳定的，因此假设 2 不成立。

4. 结论和政策建议

通过引力模型和状态空间方程，我们从维护效用和提升效应两个方面实证了休闲生活水平和人力资本的协整关系极其对人力资本增长显著的促进作用，并以社团、旅游和图书出版等为例论证了休闲生活对人力资本的贡献性。然而我们发现图书种类的增多以及电影的供给和消费并没有对人力资本的维护和保持带来显著的影响，相反，图书种类的增加还有少许细微的负效应。对此，人力资本政策与制度安排应注意如下几个方面：

第一，重视人们休闲生活水平的建设和提升，从资金投入、基础设施建设以及网络开发等各方面提高和促进人们休闲生活水平的质量，把人们休闲生活引入到更有利于人力资本发展的轨道上来。

第二，重视图书的发行和影视作品的建设，减少图书以及影视作品中的无效投入，增强影视作品的思想性、科学性和趣味性，大力发展旅游经济，注重休闲生活内容对人力资本的维护保持效用和提升效用。

第三，充分发挥组织、社团及其活动在人力资本提升中的作用，组织与社团应建立良好的互动平台，开展积极有益身心的活动，不但在身体上增加人们的健康，而且在心灵上增加人们的知识经验，在素质上提升人们的生活与工作技能。

第四，应该更加重视制度的廉洁建设，减少人与人之间打交道的交易成本，监督和限制政府官员以权谋私的机会主义行为，为人力资本在休闲生活中的发展提供制度保障。

第五，在提升人力资本水平的重要方式中，旅游是不错的选择，政府应当发展旅游经济，开发新的旅游景点，提升旅游的交通和基础设施建设，更要注重旅游与文化的结合，把旅游的发展，引导到促进人力资本的方向上来。

总之，休闲生活水平和人力资本的增长两者都相当重要，学术理论的思考和政策制度的安排都应该为两者提供有效的服务，而本文的观点则偏向宏观，微观不足，但希望起到抛砖引玉的作用。

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The Research of Top Executives' External-Internal Social Capital on the Value of Commercial Bank-Taking Internal Control Quality as a mediator

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Abstract

The banking industry is the hub of the entire national economic activity and occupies an absolutely important and critical position in the entire financial system. The social capital of the senior executives of commercial banks will not only have a great impact on the value of commercial banks, but also an important factor affecting the quality of internal control of commercial banks. The senior management team is a decision maker who judges what kind of development strategy a commercial bank is implementing, which greatly affects the internal control environment of a commercial bank, and the quality of the internal control of a commercial bank is also closely related to the value creation process of a commercial bank. This paper intends to quantify the correlation between the senior management's social capital, the quality of internal control, and the value of commercial banks. Taking listed commercial banks from 2008 to 2015 as samples, a structural equation model was established, measurement factors for empirical models were defined, and basic assumptions were verified. Executive social capital has a positive impact on corporate value through the internal control of commercial banks.

Keywords: executive social capital; commercial bank value; structural equation model;

高管內外社會資本對商業銀行價值的研究--以內部控制質量為中介效果

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摘要

银行业是整个国民经济活动的枢纽，在整个金融体系中占据着绝对重要且关键的地位。商业银行高管的社会资本不但会对商业银行的价值产生极大的影响，而且也是商业银行内部控制质量的重要影响因素。高层管理团队是判断商业银行执行何种发展战略的决策者，极大影响了

商业银行的内部控制环境，而商业银行的内部控制质量也与商业银行价值的创造过程密切相关。本文拟对商业银行的高管社会资本、内部控制质量以及商业银行价值的关联性进行量化研究。选取 2008-2015 年上市商业银行作为样本，建立结构方程模型，定义了实证模型的测量因子，验证了基本假设。高管社会资本通过商业银行内部控制对企业价值产生正向影响。

关键词: 高管社会资本；商业银行价值；结构方程模型；

1. 研究背景与动机

银行业在整个金融体系中占据着绝对重要而关键的地位。随着金融深化改革的推进，涉及金融体系重组并购、国有银行改制上市和外资、民间资本进入银行业等经济交易日益增多，且关于银行业的并购事件规模巨大，对银行业价值评估合理与否成为实施这些资本运作和管理活动的关键。因此，如何评估商业银行价值已成为非常重要且亟待解决的问题，它将直接关系到我国金融业改革可否顺利推进，影响金融业的长期健康可持续发展能力。

高管的社会资本对商业银行的价值的影响极大,使得商业银行会极力加强自身的社会资本，而商业银行高管的社会资本无疑是能够影响商业银行内部控制质量与信用风险管理水平的重要因素，从而对商业银行价值产生深远的影响。高层管理团队是判断商业银行执行何种发展战略的决策者，极大影响了商业银行的内部控制环境和经营发展战略，而商业银行的内部控制质量和多元化经营的程度对商业银行价值创造过程直接发生作用。

组织所有权和经营权的分离导致经营者的经营管理行为不一定总是沿着实现组织价值最大化的目标前行。在金融行业也同样存在着这样的代理问题，同时，随着金融市场竞争的日益激烈，社会关系在银行业的力量角逐中发挥的作用越来越重要，那么，商业银行的高管作为组织的经营者，其社会资本对商业银行实现价值最大化是通过何种途径产生影响的这正是本文的研究动机。

2. 文献探讨

社会资本的概念总的来说可以分为三大类即：资源论、网络论、结构论。即社会资本可以被看做某种资源；将人与人组成的社交网络作为研究主体的被称为网络论，而结构论的出发点则是社会资本的成分构成。Borgatti(1998)首先正式提出社会资本观点。他认为："社会资本是现实或潜在资源的集合体，这些资源与关系网络有关。Nahapiet(1998)提出了社会资本理论的三大假设，即地位强度假设、弱关系强度假设和社会资源效应假设。黄丽(2012)将社会资本定义为，蕴藏在企业内部，作用于社会结构，可以在控制成本，降低风险等多个方面对企业产生有利影响的特定资源。朱冰冰(2008)认为企业社会资本是可以为企业带来收益，降低费用，促进企业运行的特殊资本。它的产生以企业之间的相互联系作为纽带，相互信任作为基础。

人们对社会资本与企业绩效的关注往往源于社会资本可以提高企业绩效。研究者发现社会资本不仅可以为企业营造良好的外部经营条件，而且对企业组织的内部管理也有所助益。Burt(2014)提出社会资本的经济租金效应是社会资本提升企业绩效的根源。杨梅(2004)认为企业的社会资本将有助于企业的产品实现差异化目标，增强产品的竞争力。卢现祥(2000)认为，社会

资本可以通过以下几个方面即：信息的获取成本、企业生产的实施成本、溢出效应、企业交易成本对企业绩效产生影响。Adler (2001)的研究表明在其他条件不变的情况下，社会资本与企业绩效正相关。认为在新的经济形势下，充分发掘企业社会资本为企业绩效的提升开辟新的道路。

池国华等(2007)高管的管理决策体现了其风险意识、经营理念和领导风格，故而在一定程度上高管所拥有的权力推动着这些决策通过组织结构和管理层级逐级渗透到作为内部控制构成要素的内部环境之中，进而再通过内部环境作用于内部控制系统的其他要素。但是 Peasnell (1998)对于企业内部控制质量进行相比、量化，证明了内部控制也是提升公司经营管理水平的一个主要的方法。

徐经长(2010)高管的社会资本能够对内部控制中与风险管理相关的要素产生影响，其社会网络中积累的外部社会资本和对组织的控制力，有利于组织内外部信息的沟通与交流，进而帮助组织迅速有效地识别经营风险，并针对识别出的风险实施相应的控制和监控活动。刘倩倩(2008)选择了沪深 300 家上市公司作为研究对象，经过实证分析得到内部控制也可以提升公司的经营管理水平和盈利水平；叶建芳、陈潇(2008)建立了企业控制和公司盈利水平的关联模型，确定公司的控制因素越大那么企业的盈利水平越高。

3. 研究方法

由于大多城市性的商业银行到 2008 年以后才公开一些信息且最新数据有的尚未公布，且部分年份数据不完整，为保证数据的一致性，故本章选取 2008-2015 年与商业银行的高管团队和价值相关的数据进行量化分析，基础数据来源于《中国统计年鉴》、国泰安数据库以及各商业银行的年报。

本文选择的商业银行样本包括 4 大国有商业银行、全国性股份制商业银行、城市商业银行和其他农村金融机构。本篇文章最终选择出 65 家商业银行(见表 1)8 年数据作为研究的对象，共520 笔数据。

表一 业银行所选样本

银行类型	样本说明
大型商业银行(5 家)	中国农业银行、交通银行、中国建设银行、中国银行、中国工商银行
股份制商业银行(12 家)	中信银行、中国光大银行、平安银行、中国民生银行、招商银行、上海浦东发展银行、华夏银行、广发银行、兴业银行、恒丰银行、浙商银行、渤海银行
城市商业银行(39 家)	包商银行、富滇银行、大连银行、东营市商业银行、阜新银行、北京银行、广西北部湾银行、东莞银行、广州银行、汉口银行、杭州银行、河北银行、徽商银行、江苏银行、锦州银行、日照银行、莱商银行、嘉兴银行、宁波银行、南京银行、昆仑银行、宁夏银行、上海银银行、长沙银行、浙江稠州银行、新乡银行、柳州银行、威海银行、洛阳银行、浙江泰隆商业银行、温州银行重庆银行、德阳银行、厦门银行、泰安银行、九江银行、郑州银行、福建海峡银行、桂林银行、晋城银行、青岛银行、珠海华润银行、龙江银行、青海银行、鹤壁银行、南昌银行、成都银行、苏州银行、邯郸银行
外资银行(9 家)	荷兰银行(中国)、企业银行（中国）、德意志银行（中国）、法国兴业银行（中国）、国民银行（中国）、韩亚银行（中国）、蒙特利尔银行（中国）、摩根大通银行（中国）、瑞士银行（中国）

资料来源：根据数据可获得性自行整理

高管外部社会资本 Hambrick(1994)、魏立群和王智慧等(2002)专家学者对其定义的确定。对于具体的测量变量整理如表二。

表二 高管外部社会资本指标构成

维度	测量变量	说明	资料来源
纵向社会资本	是否为党员或民主党派	是：1分；否：0分	李路路(2005)
	是否有政府工作经验	是：1分；否：0分	姜跃龙(2008) 陈任如和赖煜(2010)
	是否担任过两会代表	是：1分；否：0分	周小虎(2004) 杜兴强等(2011)
	曾经或正在文化协作组织、非营利组织任职	是：1分；否：0分	Laursen and Salter,(2004) Moran(2006)
横向社会资本	曾经或正在经济合作组织或监管机构任职	是：1分；否：0分	Park,Luo(2000,2001)
	有金融行业背景	是：1分；否：0分	Capaldo,(2007)
	具有在供应商、客户或同行业从业经验	是：1分；否：0分	Boisot and Child(1996) 贺远琼等(2007)

高管的内部社会资本则由组织权力、所有权比例、经验权力和声望权力四个维度进行考察，具体的测量变量如表三。

表三 高管内部社会资本指标构成

维度	测量变量	说明	资料来源
组织背景	董事长是否兼总经理	是：1分；否：0分	郑石桥等(2009)
	董事会相对规模	以董事会人数与企业职工数之比来表示	罗论党和刘小龙(2009)
所有权比例	董事长持股比例 总经理持股比例	商业银行披露出的董事长股份数据之和 商业银行披露出的总经理股份数据之和	张颖和郑洪涛(2010)
	高管持股比例	以董事会成员和总经理的持股比例的总和来表示	张继德等(2013)
经验背景	高管平均任职年限	以董事会成员和总经理的平均任职年限来表示	杨林(2014)
	高管中有咨询、会计行业从业人员的比例	以董事会成员和总经理中该类行业从业人员比例来表示	何威风(2015)
学历背景	高管名校求学经历	以董事会成员和总经理中拥有985学历人员比例来表示	Hambrick and Mason,(1984)
	高管硕博学历比例	以董事会成员和总经理中拥有硕博学历的比例来表示	沈艺峰等(2009)

注：剔除了董事长同时担任总经理的数据

商业银行内部控制质量的测量变量，内部控制在商业银行的经营管理中发挥着重要的作用。

故本文以 2008-2015 年迪博内部控制指数的对数来表示内部控制的测量变量。商业银行价值的测量变量基于之前学者的研究，分别从历史绩效及未来成长两方面对商业银行价值进行研究，具体的测量变量如表四。

<div align="center">表四 商业银行价值指标构成</div>

维度	测量变量	说明	资料来源
历史绩效	净资产净利率	年度净利润/年末总资产	张晓坤(2014)
未来成长	托宾 q 值	年末市场价值/年末总资产	

从高管社会资本对商业银行价值影响的研究出发，通过商业银行内部控制质量与高管社会资本、商业银行价值的作用关系，形成以商业银行内部控制质量为中介变量的中介变量作用模型，深入地研究高管社会资本对商业银行价值的作用价值。

本文从这一研究思路出发，设定了四个作用机制模型。(1)验证高管社会资本对商业银行价值的直接影响。(2)验证高管社会资本对商业银行内部控制质量的直接影响。(3)验证内部控制质量对商业银行价值的直接影响。(4)该模型在验证了高管社会资本对商业银行价值以及中介变量合适的基础上，以商业银行内部控制质量作为中介变量，研究了高管社会资本与商业银行价值的内在作用机制。总模型如图：
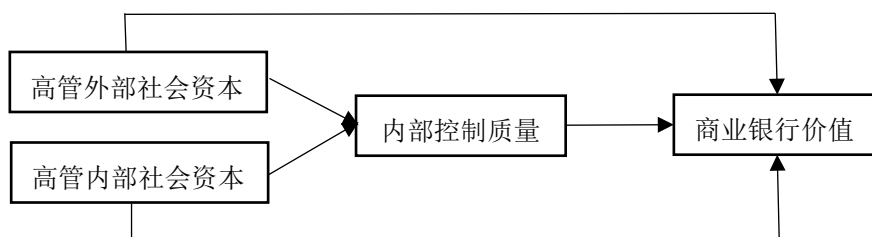
<div align="center">图一 总模型图</div>

4. 实证分析

本文将 520 笔数据使用 SPSS19.0 进行信度检验，检验结果显示如表五，高管内部社会资本、高管外部社会资本和商业银行价值的 Cronbach's α 系数分别为 0.883、0.764 和 0.775，均达到了建议的标准要求 0.7，因此，模型结构内部结构稳定，通过了信度检验。

<div align="center">表五 直接作用路径模型一信度检验表</div>

	高管内部社会资本	高管外部社会资本	商业银行价值
Cronbach's α	0.883	0.764	0.775

本文利用测量变量对不可观测变量的因子载荷以及 GFI、NFI、CFI 和 RMSEA 这些拟合指标来检验内敛效度，利用不可观测变量平均提炼变差(AVE)的平方与 3 个不可观测变量的相关系数的大小关系来检验判别效度。

内敛效度的检验结果(表六、表七)显示，各潜变量测量维度的因子能够很好的代表潜变量，

5 个判别效度指标大多数都达到了参考值的要求或者接近参考值，测量维度能够很好的代表潜变量，聚合到同一潜变量的测量维度高度相关。

<div align="center">表六 直接作用路径模型一测量维度的因子载荷</div>

不可观测变量	测量维度	因子载荷	不可观测变量	测量维度	因子载荷
高管内部社会资本	组织背景	0.697	高管外部社会资本	纵向资本	0.730
	所有权比例	0.804		横向资本	0.717
	经验背景	0.815	商业银行价值	未来成长	0.676
	学历背景	0.691		历史绩效	0.934

<div align="center">表七 直接作用路径模型一潜变量判别效度指标的拟合优度</div>

指标名	x^2/df	GFI	NFI	CFI	RMSEA
参考值	<5	>0.9	>0.9	>0.9	<0.1
高管内部社会资本	3.243	0.906	0.885	0.942	0.073
高管外部社会资本	2.245	0.863	0.953	0.946	0.119
商业银行价值	3.261	0.917	0.930	0.976	0.054

判别效度的指标检验结果(表八、表九)显示，每个不可观测变量的 AVE 的平方根均大于其与其他 3 个不可观测变量之间的相关系数，说明构建的变量模型具有良好的判别信度。

<div align="center">表八 直接作用路径模型一不可观测变量的平均提炼变差</div>

	高管内部社会资本	高管外部社会资本	内部控制质量	商业银行价值
AVE	0.573	0.612	0.479	0.625
AVE 的平方根	0.757	0.782	0.692	0.791

<div align="center">表九 不可观测变量相关系数</div>

	高管内部社会资本	高管外部社会资本	内部控制质量	商业银行价值
高管内部社会资本	0.757			
高管外部社会资本	0.611	0.782		
内部控制质量	0.427	0.698	0.692	
商业银行价值	0.572	0.636	0.675	0.791

4.1 结果分析

从图二可知,高管的外部社会资本和内部社会资本均能够对商业银行产生显著性正向影响。高管外部社会资本和内部社会资本都会对商业银行价值产生显著的正向影响。进一步的，高管

社会资本是如何对商业银行价值产生影响的，则继续通过选择合适的中介变量研究二者的作用机制路径
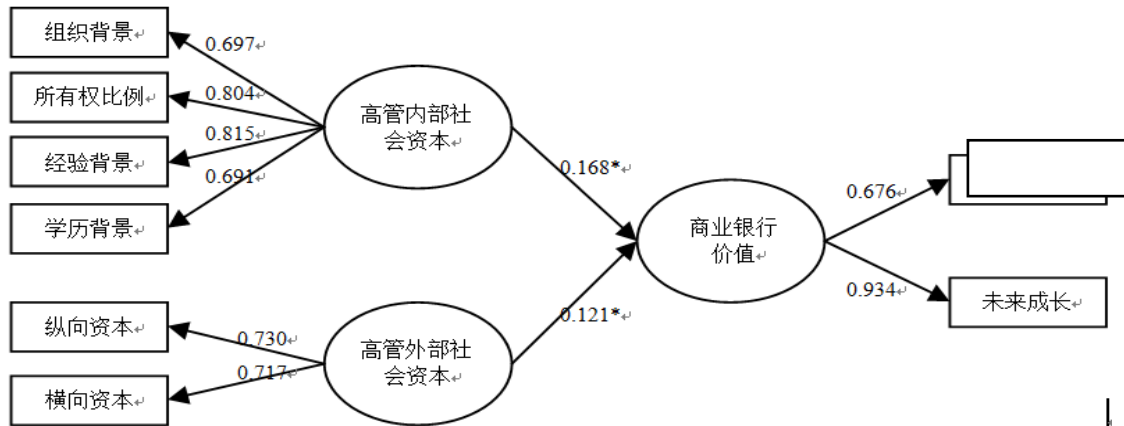
图二 直接作用模型一实证结果

注：*代表 10%水平下显著，**代表 5%水平下显著，***代表 1%水平下显著

检验结果如表十显示，高管内部社会资本、高管外部社会资本和商业银行内部控制质量的 Cronbach's α 系数分别为 0.965、0.710、0.756，均达到了建议的标准要求 0.7，因此，模型结构内部结构稳定，通过了信度检验。

表十 直接作用路径模型二信度检验表

	高管内部社会资本	高管外部社会资本	内部控制质量
Cronbach's α	0.965	0.710	0.756

结果分析：
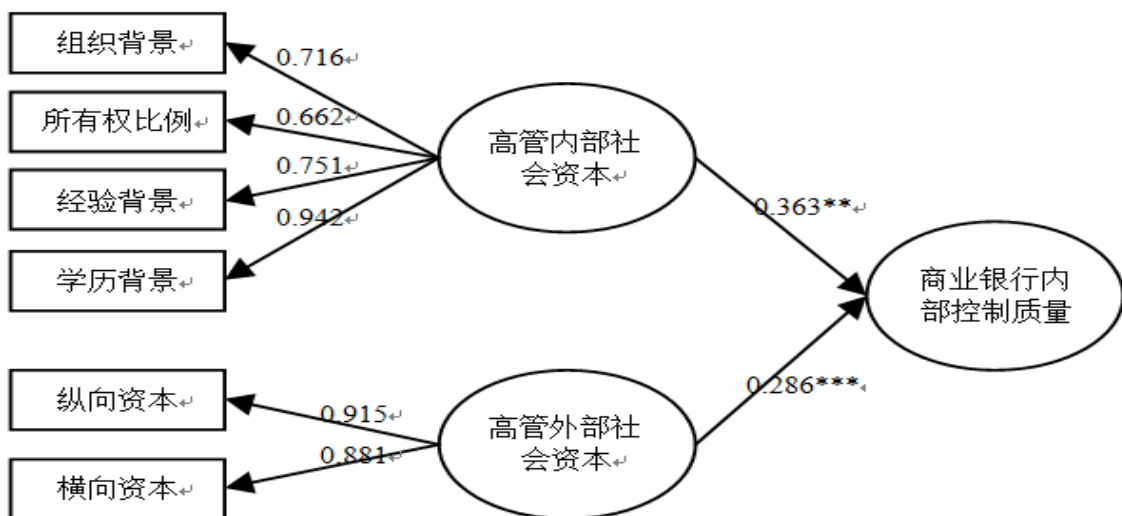
图三 直接作用模型二实证结果

注：*代表 10%水平下显著，**代表 5%水平下显著，***代表 1%水平下显著

从图三的实证结果可以看出，高管的外部社会资本和内部社会资本均能够对商业银行的内部控制质量产生显著正向影响。检验结果如表 13 所示，商业银行的内部控制质量和商业银行价值的 Cronbach's α 系数分别为 0.609 和 0.374，在 0.3 到 0.7 范围之间，可进行下一步实证研究，通过了信度检验。

表十一　直接作用路径模型三信度检验表

	内部控制质量	商业银行价值
Cronbach's α	0.609	0.374

结果分析：

图四　直接作用路径模型三实证结果
注：*代表 10%水平下显著，**代表 5%水平下显著，***代表 1%水平下显著

从图四的实证结果可以看出，商业银行的内部控制质量能够对商业银行的价值产生显著影响。检验结果如表 16 示，高管内部社会资本、高管外部社会资本、商业银行内部控制质量、和商业银行价值的 Cronbach's α 系数分别为 0.754 、0.877、0.983 、0.722，均达到了建议的标准要求 0.7，因此，模型结构内部结构稳定，通过了信度检验。

表十二　中介作用路径模型信度检验表

	高管内部社会资本	高管外部社会资本	内部控制质量	商业银行价值
Cronbach's α	0.754	0.877	0.983	0.722

结果分析：
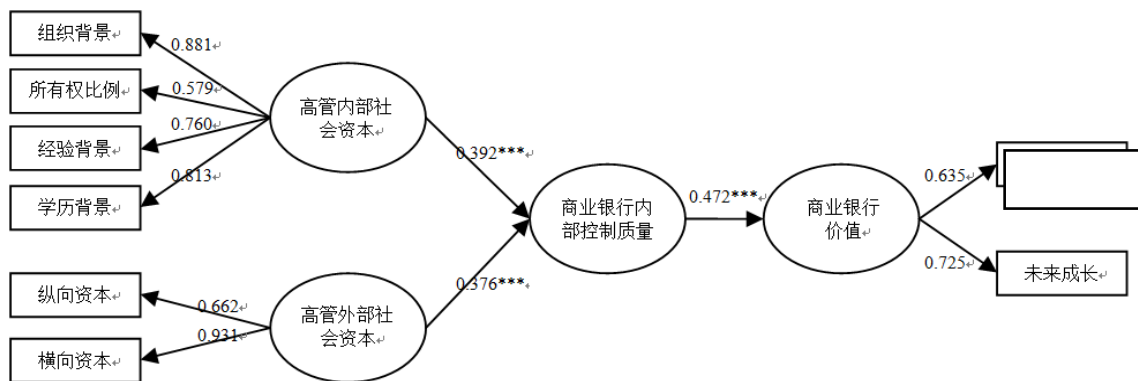
图五　中介变量模型实证研究
注：*代表 10%水平下显著，**代表 5%水平下显著，***代表 1%水平下显著

从图五的实证结果可以看出，高管社会资本对商业银行价值的内在作用机制以商业银行内部控制质量作为桥梁，相互之间产生影响。具体说来：

高管外部社会资本以商业银行内部控制质量作为中介变量，对商业银行价值产生了显著影响。

商业银行内部社会资本以商业银行内部控制质量作为中介变量，对商业银行价值产生了显著影响。

5. 研究结论与建议

实证结果证实，高管的社会资本是通过内部控制质量发生作用，即以此作为传递介质，继而对企业绩效产生影响的。同时，高管团队的内部社会资本和外部社会资本商业银行的内部控制质量路径对商业银行价值产生影响。

本文通过结构方程模型探讨了在中介变量的作用下，企业高管团队社会资本通过商业银行内部控制质量对商业银行价值的作用机制，丰富了相关理论研究，同时也为商业银行价值最大化的工作提供了一种新的思路：本文的研究结果认为高管不仅要关注其外部的政府与社会关系、自身关联领域的关系，也要关注自身的性格特质及团队的协作能力，高层管理团队是判断商业银行执行何种发展战略的决策者，极大影响了商业银行的内部控制环境和经营发展战略，同时而商业银行的内部控制质量和多元化经营的程度对商业银行价值创造过程直接发生作用。因此，内部社会资本和外部社会资本对企业是同等重要的。同时本文研究结果表明,尽管高管社会资本不会直接提高企业经济绩效,却可以通过提高企业内部控制质量从而显著、间接提高企业经济绩效。在现代经济活动中,市场、企业、政府的决策均是依据信息的传递和反馈来相互影响的,现实生活中,三者之间存在着信息的不对称,如果企业高管拥有丰富的社会资本,则可以更快、更准确地获得需要的信息资源,从而制定相应的战略来适应外部环境,提高商业银行价值 。

本文仅仅是对商业银行进行研究，对后续研究者来说，可从不同行业上市公司高管社会资本对企业价值进行深入研究。上市公司所在行业不同会造成上市公司对不同类型社会资本的不同关注，故具有研究价值。其次，关于实证模型的设计，在高管社会资本的进一步细致划分以及各个测量因子的选择方面还有较大的提升空间。

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Applying innovation strategies to Thai Airways

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Abstract

The growth of aviation industry has become more competition. So, the full range of airline services can't be same action as before and need to change previous management model too. Thai Airways revenue can't achieve the goal, the performance of company should be reformed. In order to increase the company's competitiveness, sustainable development and financial stability, Thai Airways should adapt innovative development strategies to increase competitiveness, sustainability and stability of Thai Airways. Scope of research determined only the implementation of innovative development strategies to make Thai Airways reduce operational losses and sustain profitability analyze. According to the actual situation of Thai Airways using the theories related to the development of innovation strategies to be more suitable for Thai Airways.

Keywords：Thailand Airline；　Development strategy of Thai Airways

泰国国际航空公司创新战略的应用与调整

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摘要

航空业的快速增长也导致了行业内更激烈的竞争。逐年减少的市场份额使得坚持提供高品质服务的泰航不能再高枕无忧的采用原先的管理模式来进行管理。泰航的利润额越来越难以达到年初的预期，企业的改革已是在所难免。为了增加公司的竞争能力、维持企业的持续发展和金融的稳定，泰航应调整并创新发展战略，以提高泰航的竞争力、可持续性和稳定性。本研究范围确定执行泰航的创新发展战略，使泰航减少运营损失并维持盈利能力，根据泰航的实际情况，使用与创新发展的相关理论进行分析更适合泰航的发展战略。

关键词：航空公司；泰航的发展战

1. 引言

1.1 泰国航空公司 2013 年至 2018 年长期战略制定的有效性

　　航空运输业是 20 世纪兴起的一个新兴行业，作为交通运输基础产业，航空运输业具有高成本、高收益、高效率等基本特征。从 2007 年以来，航空业受到全球经济危机、全球恐怖主义、政治因素和世界油价等诸多方面的影响，全球范围内的各国航空公司都产生了一定程度的损失。从 2010 年起，航空业态趋势才开始表现出持续回暖，中美之间的贸易战使得世界经济濒临崩溃。因为当世界上出现颠覆性技术时，每个行业为了能够保证行业标准的及时更新，行业本身都会产生巨大变化。但是泰国航空公司却通过收集和分析历史数据制定了为期 10 年的战略计划，此战略期间跨度过长，且长期战略并不能及时应对行业环境的快速变化以及当前存在的颠覆性技术（Disruptive technology）。

　　从 Disruption Management in the Airline Industry (Jens Clausen、Allan Larsen 、& Jesper Larsen，2005 ）和 Disruption Management in Airline Operations Control (António J.M. Castro1 and Eugénio Oliveira，2010)，航空业需要及时适应和进行创新才能使航空业在市场环境下继续生存。根据 Digital Business Transformation (Gartner, 2018) 研究分析，金融服务业必须调整为创新模式，同样，航空业也必须适应 Digital Business Transformation 以求生存。

1.2 实施 10 年战略设定（2013-2022 ）

　　从 2013 年到 2018 年的 5 年中，战略无法使泰国航空得到利润，不能将亏损变为利润。根据表 1-2 表明 2013-2018 年财务数据汇总表，尽管表 3 航空运输统计机场部已显示 2013-2018 年航空旅客人数增加。在 2019 年和未来航空运输统计机场部已显示航空旅客人数向下趋势，如果未来没有调整，会更亏损。

表 1 2013-2015 年财务数据汇总表

Financial Highlights

		Consolidated		
		2015	**2014**	**2013**
Statement of Income				
Total Revenues*	(Million THB)	192,591	203,889	207,711
Total Expenses	(Million THB)	206,707	220,627	220,640
Profit (Loss) before Income Tax Expense	(Million THB)	(14,116)	(16,738)	(12,929)
Profit (Loss) attributable to owners of the parent	(Million THB)	(13,068)	(15,612)	(12,047)
Net Profit (Loss)	(Million THB)	(13,047)	(15,573)	(12,000)
Balance Sheets				
Total Assets	(Million THB)	302,471	307,267	307,085
Total Liabilities	(Million THB)	269,545	265,971	250,166
Shareholder's Equity	(Million THB)	32,926	41,296	56,919
Shares				
Issued and Paid-up Share Capital	(Million Shares)	2,182.77	2,182.77	2,182.77
Par Value	(THB)	10.00	10.00	10.00
Earnings (Loss) Per Share	(THB)	(5.99)	(7.15)	(5.52)
Dividend Per Share	(THB)	-	-	-
Financial Ratios				
Net Profit (Loss) to Total Revenues[1]	(%)	(6.9)	(8.1)	(5.7)
Return on Total Assets[2]	(%)	(2.7)	(3.5)	(2.3)
Return on Equity[3]	(%)	(35.2)	(31.7)	(19.0)
Interest Bearing Debt to Equity[4]	(Times)	5.8	4.7	3.1

Remarks :　[1]　Net Profit (Loss) to Total Revenues = Net Profit (Loss)/Total Revenues (Excluded gain on foriegn currency exchange).
　　　　　　[2]　Return on Total Assets = Profit (Loss) before Interest and Tax/Average Total Assets
　　　　　　[3]　Return on Equity = Net Profit (Loss)/Average Shareholders' Equity
　　　　　　[4]　Interest Bearing Debt To Equity = (Short-Term Loan + Long-Term Loan including current portion of Long-Term Loan within 1 year)/ Shareholders' Equity
　　　　　*　Total Revenues Includes Gain (Loss) on foriegn currency exchange.

表 2 2016-2018 年财务数据汇总表

Financial Highlights

		Consolidated Financial Statements		
		2018	2017	2016
Statement of Income				
Total Revenues*	(Million THB)	200,586	190,535	181,446
Total Expenses	(Million THB)	212,192	193,430	182,863
Profit (Loss) before Income Tax Expense	(Million THB)	(11,606)	(2,895)	(1,417)
Profit (Loss) attributable to owner of the parent	(Million THB)	(11,625)	(2,107)	15
Net Profit (Loss)	(Million THB)	(11,569)	(2,072)	47
Balance Sheets				
Total Assets	(Million THB)	268,721	280,775	283,124
Total Liabilities	(Million THB)	248,265	248,762	249,536
Shareholders' Equity	(Million THB)	20,456	32,013	33,588
Shares				
Issued and Paid-up Share Capital	(Million Shares)	2,182.77	2,182.77	2,182.77
Par Value	(THB)	10.00	10.00	10.00
Earnings (Loss) per Share	(THB)	(5.33)	(0.97)	0.01
Dividend per Share	(THB)	-	-	-
Financial Ratios				
Net Profit (Loss) to Total Revenues [1]	(%)	(5.8)	(1.1)	0.03
Return on Total Assets [2]	(%)	(2.6)	0.7	1.3
Return on Equity [3]	(%)	(44.1)	(6.3)	0.1
Interest-Bearing Debt to Equity [4]	(Times)	7.4	5.0	5.0

Note:
[1] Net Profit (Loss) to Total Revenues = Net Profit (Loss) / Total Revenues (excluding gain on foreign currency exchange)
[2] Return on Total Assets = Profit (loss) before Interest and Tax / Average Total Assets
[3] Return on Equity = Net Profit (Loss) / Average Shareholders' Equity
[4] Interest-Bearing Debt to Equity = (Short-Term Loan + Long-Term Loans including current portion of Long-Term Loan within 1 year) / Shareholders' Equity

* Total Revenues include Gain (Loss) on foreign currency exchange

表 3 航空运输统计表机场部
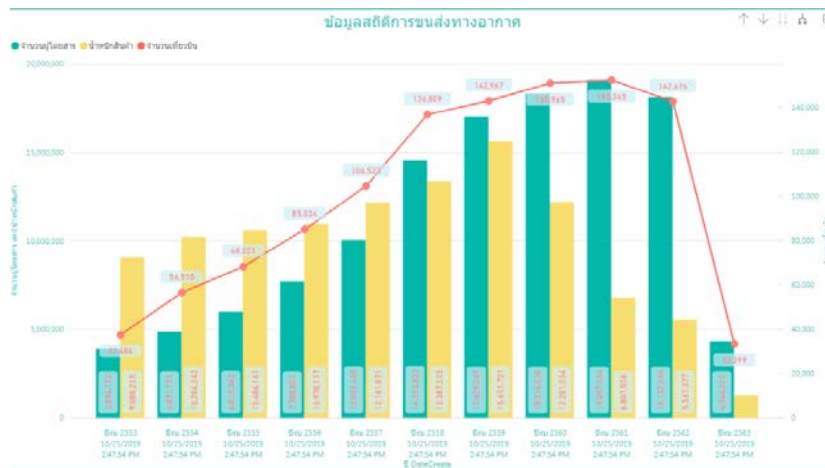
2. 公司发展现状存在问题及原因分析

泰国国际航空公司，成立于 1951 年。在公司发展之初是一家私营航空公司，现已发展成为泰国的国家航空公司。泰国国际航空最初与北欧航空公司合股经营，自泰国政府买下北欧航空公司的股权之后，泰航才真正成为泰国政府的独资企业。泰国国际航空公司是星空联盟 (Star Alliance) 的创始成员之一。这些都是业务运营的优势。

目前乘坐飞机出行的方式在普通游客和商务人士之间非常受欢迎。据 2016-2018 年的航空

公司年度报告显示，选择乘坐飞机出行的游客大幅增长，航空业也持续发展。与此同时，航空业的快速增长也导致了行业内更激烈的竞争，越来越多的低成本航空公司和中东航空公司的加入，对泰国国际航空公司产生了直接的影响。泰国国际航空公司即泰航，是一家坚持提供完善服务的航空公司，因此同样受到了不小的影响。

从低成本航空公司的竞争、燃油成本上升、和快速变化，泰国航空公司已制定了 10 年的长期战略来解决损失的问题，但结果是还没成功。

2.1 泰国航空公司目前正在使用的发展战略三个阶段目标

由于受到各种情况的影响，从 2014 年开始泰航公司业绩达不到目标，不断建立的低成本航空公司和中东航空公司的快速发展与增长，都导致了更激烈的市场竞争环境。因此泰航主要分为 3 个阶段提出战略。

第 1 步：停止亏损 (Stop Bleeding)按照控制成本战略进行

通过暂停服务航线连续亏损的长期运行效果和减少损失航线或改变飞机的种类规模，从而增加航线服务潜力和提高航线利润，改变收入构成方式，进一步去增加创收。

第 2 步：加强企业文化建设 (Strength Building) 按照联盟战略进行

为了提高竞争力和降低成本，需要明确对企业战略进行定义，达到减少企业的平均成本、提高服务效率（其中包括持续监管）、寻找机会和创造更多的收入的目的。

第 3 步：持久发展 (Sustainable Growth) 按照积极性投资组合战略进行

基于第 2 步战略不断更新企业、调整扩展企业，利用组织的优势，建立收入，提高可持续盈利能力，从而寻求长期利润。

2.2 2013 年至 2018 年长期战略存在的问题

1．公司所制定的长期战略无法及时根据竞争环境和全球经济变化进行更新，且没有准备备份计划以应对临时出现的意外情况。

2．公司所制定的长期战略无法根据服务业不断更新的颠覆性技术 (Disruptive technology) 进行及时调整。根据创新战略，仍然需要 Disruption Management in the Airline Industry – Concepts, Models and Methods (Jens Clausen, Allan Larsen, Jesper Larsen，& Natalia J.Rezanova，2005) 研究支持这个概念。

3.公司所制定的长期战略不注重在服务方面进行创新，没有考虑到服务性收入占公司总收入76％以上这一重要信息，根据表4-5 表现 Revenue Breakdown for the Company and its Subsidiaries 2013-2018。

表 4Revenue Breakdown for the Company and its Subsidiaries 2013-2015

Revenue Breakdown for the Company and its Subsidiaries

Revenue for the Company and its subsidiaries for the past 3 years can be broken down as follows:

	2015		2014		2013	
	MTHB	%	MTHB	%	MTHB	%
Revenue from Transportation Activities						
Passenger and excess baggage revenue	152,488	79.2	154,881	76.0	172,335	83.0
Freight and mail revenue	18,651	9.7	23,601	11.6	24,515	11.8
Total Revenue from Transportation Activities	171,139	88.9	178,482	87.6	196,850	94.8
Revenue from Other Activities⁽¹⁾	11,588	6.0	9,885	4.8	9,486	4.6
Total Operating Revenue	182,727	94.9	188,367	92.4	206,336	99.4
Other incomes⁽²⁾	9,864	5.1	15,522	7.6	1,374	0.6
Total Revenues	192,591	100.0	203,889	100.0	207,710	100.0

Notes: ⁽¹⁾ Revenue from other activities consists of revenues from business units and other supporting activities.
⁽²⁾ Other incomes include interest income, gain (loss) on foreign currency exchange, gains on deemed disposal, gain on disposal of the controlling interest and other incomes.

表 5 Revenue Breakdown for the Company and its Subsidiaries 2016-2018

Revenue structure of the company and its subsidiaries.

Revenue of the Company and its subsidiaries over the past 3 years are as follows:

	2018		2017		2016	
	MTHB	%	MTHB	%	MTHB	%
Revenue from Transport Business						
Passenger and excess baggage charges	160,255	79.9	157,475	82.7	148,060	81.6
Freight and mail charges	22,340	11.1	20,272	10.6	18,578	10.3
Total Revenue from Transport Business	182,595	91.0	177,747	93.3	166,638	91.9
Revenue from other services ⁽¹⁾	13,370	6.7	12,111	6.3	11,674	6.4
Total Revenue from Sales & Services	195,965	97.7	189,858	99.6	178,312	98.3
Other revenue ⁽²⁾	4,621	2.3	677	0.4	3,134	1.7
Total Revenue	200,586	100.0	190,535	100.0	181,446	100.0

Notes: ⁽¹⁾ Revenue from other services consists of revenue from business units and other supporting businesses.
⁽²⁾ Other revenue includes interest income, gains (losses) on foreign currency exchange, and others.

3. 以下作者分析有助于解决以上问题的建议和策略

减少支出以增加利润意味着减少总成本。不包括石油在内的营业费用约为总费用的 70％。从表 6 表明泰国航空的财务表现 (Financial Performance of Thai Airway)。

表 6 Financial Performance of Thai Airway

Financial Performance: THAI and its subsidiaries

Unit : Million Baht	Jan - Dec			
	2018	2017	Variance	
			MTHB	%
Total operating revenues	199,500	191,946	+7,554	+3.9
- Passenger and excess baggage revenue	160,255	157,475	+2,780	+1.8
- Freight and mail revenue	22,340	20,272	+2,068	+10.2
- Revenue from other activities	13,370	12,111	+1,259	+10.4
- Other income	3,535	2,088	+1,447	+69.3
Total operating expenses	208,558	189,090	+19,468	+10.3
- Fuel and oil	60,096	50,215	+9,881	+19.7
- Non-fuel operating expenses	144,130	134,328	+9,802	+7.3
- Net finance cost	4,332	4,547	-215	-4.7

克里斯坦森的颠覆性创新理论 (Clayton Christensen's Disruptive Innovation Theory)：颠覆性创新要求一个截然分开、另起炉灶的战略流程。这一流程既不能是计划好的，也不能专注于对现有问题的提高改进，它必须是突然发生的，并专注于那些意料不到的机会、问题与成功可能。尽管产品、服务的创新设计不以满足当前消费者的当前消费需求为目标，但消费者的潜在需求确实应该考虑进来。但是，了解人们的真实需求远非易事。(克里斯坦森等，2004)。

通过向最好的顾客销售更好的产品从而帮助在位企业获取高额利润的创新是维持性创新而非破坏性的。维持性创新不仅包含微小的、渐进的工艺改进而且也包括在原有性能轨迹上的跳跃性改进。与维持性创新相比，破坏性创新所针对的目标顾客往往对在位企业而言毫无吸引力。尽管破坏性创新往往只是对已知技术的简单的改进和调整，但是在这场游戏中，新的进入者几乎总是击败在位者，因为在位公司缺乏动力去争取胜利。(克里斯坦森等，2004)。

技术环境是影响组织能力和竞争力发展的重要因素。技术的发展和进步有助于创新，创新是重要的因素，如果公司要长期稳定发展，管理人员应意识到技术创新的重要性。分析型号，技术因素：

(1) 互联网技术已成为全球公众所掌握的基本技术。

为了适应目前普遍的社会现状，泰国国际航空公司需要跟随不断更新的技术。而社交媒体对消费者有着诸多的影响。因此，为了能反映消费者的消费趋势变化，以及抓住消费者的消费心理，航空公司需要不断创造新的技术。

Advanced Robotics: 航空工业中的机器人，以及诸如飞行时间表和飞行目的地当前天气状况等推荐服务都可以提供多种语言进行通讯，例如德语、意大利语和英语。

Internet of Things (IoT): Gartner 公司预计到 2020 年，将有 250 亿个活动设备用于与许多旅游服务提供商（包括航空公司）进行连接。

Virtual Reality: 航空公司将能够为头等舱乘客提供机上 VR 电影以及 VR 耳机。

(2) 飞机制造技术和维修技术的发展。

目前世界各国都在大力开发飞机制造技术，制造技术的革新有助于航空公司降低运营成本。

比如使用生物燃料(Biofuel)，翼尖(Wingtips)，等等。

(3) 通信系统的快速发展和更低的价格。

目前，航空通信系统有了很大的进步，人造卫星对社会发展的作用越来越明显，航空公司亦尝试将人造卫星(Satellite Communication) 系统应用于机场，同时为降低飞行成本使用可再生能源。此外，该系统能增加飞机起飞和降落的准确度，减少飞行期间飞行员看不清楚天气状况而出现事故的情况。

(4) 通过制作移动交易平台（Mobile Marketing Platform），利用大数据技术（Big Data）分析消费者的消费行为，实施有效的营销战略。

本研究参考以下文章 Disruption Management in Airline Operations Control – An Intelligent Agent-Based Approach (António J.M. Castro、Eugénio Oliveira, 2010)，文章证明使用创新来调整战略，导致公司将恢复盈利，而不是亏损。

(5) 船员管理信息系统（Crew Management Information System），泰国航空公司应认真使用此系统。

本研究提出了解决方案，以提高乘客的满意度，并缩短航班延误，与其他降低运营成本的方法相比。

4. 结论与建议

从研究中发现航空业受到全球经济危机的影响，为了解决问题，导致泰国航空公司制定策略。目前泰航公司强调长期策略，就是停止亏损 (Stop Bleeding)、加强企业文化建设 (Strength Building)、和持久发展 (Sustainable Growth) 的战略，但是这些战略不适用于当前情况，也不适合当前技术和快速变化。公司应制定及时变更的策略，还需要创新与技术。作者分析有助于解决问题是互联网技术已成为全球公众所掌握的基本技术、飞机制造技术和维修技术的发展、通信系统的快速发展和更低的价格、通过制作移动交易平台（Mobile Marketing Platform）、利用大数据技术（Big Data）分析消费者的消费行为和实施有效的营销战略、和船员管理信息系统 (Crew Management Information System)，为了帮助公司使管理和服务更好，更方便和更高效。这些创新指导泰国航空公司减少损失并导致增加公司的利润。

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The Influences of Pressure and Effort Input on Job Crafting

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Abstract

Through the collection of domestic and foreign literature that influence of the impact of work, influence on the work of crafting. In this lecture, the relevant information to make the relevant research to the work pressure as independent variables, work remodeling as the dependent variable, the work to be the intermediary variables, establishment the models of research and analysis. This article has made innovation in the research content and research angle. In this lecture, we use the data analysis software SPSS and the hypothesis research model to analyze the data from the descriptive analysis, and then use the data analysis software to analyze the data, to be the reliability and do the hypothesis in this lecture.

工作压力与工作投入对工作重塑影响的研究

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摘要

通过收集国内外文献得知，工作压力影响工作投入，工作压力影响工作重塑。于是本文就以上的相关信息做出了相关的研究，以工作压力为自变量，工作重塑为因变量，工作投入为中介变量，建立模型进行研究分析。本文在研究内容和研究角度上进行了创新。国内关于工作重塑的研究处于起步探索阶段，相关实证研究结论相对较少，本文通过发放问卷收集数据，结合定性与定量，利用数据分析软件 SPSS 假设研究模型，分别从描述性分析，信效度分析验证本论文中的假设。

关键词：公司员工、工作压力、工作投入、工作重塑

1. 序言

1.1 研究背景及动机

迄今为止已有少量研究围绕员工的工作重塑展开相应实证研究，但这些研究调查对象均来源于国外，这使得在不同文化背景下探讨的工作重塑内容及方法可能有着很大差异。国外文献的调查研究结果虽然有一定的参考价值，但不具有代表性。目前工作重塑在国内的理论与实证研究相对较少，对于探讨中国情境下的工作重塑就具有很强的实践意义与价值。总的来说，本

研究是通过工作压力、工作投入、工作重塑三者之间的影响因素的分析，从而找出帮助企业，管理者更好的应对员工负面情绪的方法，并通过研究的结果分析，对企业的人力资源和管理实践有所启示。结合本研究的研究背景与动机，本研究的研究目的如下四点：

    (1)探讨工作压力对工作投入是否具有影响关系。

    (2)探讨工作投入与工作重塑是否具有影响关系。

    (3)探讨工作压力与工作重塑是否具有影响关系。

    (4)探讨工作投入在工作压力与工作重塑是否具有中介效果。

2. 文献回归与研究假设

2.1 工作压力对工作重塑之影响研究

大多数的学者将工作重塑作为前置变量进行研究，如尹奎与刘娜（2016）研究结果表明工作重塑对工作意义具有显著正向影响。或者是将工作重塑作为中介变量进行研究的学者，如：邹琼（2015）以 325 名员工作为研究对象，研究发现主动性人格对工作重塑及各维度均有显著的正向影响，工作重塑在主动性人格与工作满意度的关系中起完全中介作用。本研究提出本研究的 H1 如下：

H1：工作压力对工作重塑会有正向影响。

2.2 工作压力对工作投入之影响研究

杨丽（2016）研究结论城管执法人员的工作压力影响其心理和谐水平，继而影响工作投入。马琼芳（2016）通过对随机抽查的青海省 160 名高校教师的工作压力、工作投入与成就动机问卷调查结果进行统计分析的结果表明:工作压力与工作投入存在显著正相关。Bakker, Emmerik, Geurts and Demerouti (2010) 研究发现，当个体在工作日感受到精力恢复时，当天的工作任务量可视为个体的工作压力，它与工作投入的程度呈现正相关。本研究提出本研究的 H2 如下：

H2：工作压力对工作投入具有正向影响。

2.3 工作投入与工作重塑之影响研究

Hyvonen (2017)发现努力提高自身能力，不断提高自身专业水平的经理工作投入度较高。对工作进行重塑的员工会根据自我需求和能力所长，主动改变工作环境，灵活运用工作资源，营造富有挑战性的工作氛围，激发工作热情，也增加了对工作的投入（邹琼,2015）。研究发现，工作重塑的四个维度中，除"减少妨碍性工作要求"外，其它三个维度，增加结构性工作资源、增加社会性工作资源和增加挑战性工作要求，与工作投入均呈高水平的正相关。Petrou (2012)也发现，增加挑战对工作投入有显著的正向影响。本研究提出本研究的 H4 如下：

H3:工作压力对工作重塑具有正向影响。

2.4 工作投入在工作压力对工作重塑的影响具有正向中介作用

将工作投入作为中介变量进行的研究有很多，但是将工作投入作为工作压力与工作重塑之间的中介变量进行研究的学者寥寥无几。耿庆岭与韦雪艳（2016）以北京多所中学的 384 位教师为调查对象，探究工作重塑与工作投入以及教师组织公民行为的关系，研究结果表明教师工

作投入在工作重塑与组织公民行为之间有中介效应。 金惠红，雷文瑜和薛希鹏（2015）通过问卷调查研究发现工作投入在挑战性压力与工作绩效之间起中介作用；工作投入在阻碍性压力与工作绩效之间起中介作用。本研究提出本研究的 H4 如下：

H4:工作投入在工作压力对工作重塑的影响是否具有正向中介作用

3. 文献回归与研究假设

3.1 变量的定义与衡量

本研究工作压力量表主要参考 Cooper et al.(1988)所编撰之职业压力指标、黄宝园（2009）的工作压力量表，归纳出工作负荷、人际关系、角色压力与专业能力四个维度，以衡量工作压力，本研究量表采李克特五点问卷计分，依「非常不同意」至「非常同意」，分别给予 1 至 5 分，受测者分数愈高表示认知程度愈高，工作压力量表共 18 个题项。工作投入量表主要依据 Lodahl and Kejner (1965)的定义，并参考许昌隆（2004）修改后的工作投入量表，归纳出奉献、活力、专注三个维度，以衡量工作投入之认知感受。本研究量表采李克特五点问卷计分，依「非常不同意」至「非常同意」，分别给予 1 至 5 分，受测者分数愈高表示认知程度愈高，工作投入量表共 10 个题项。 工作重塑量表主要参考 Tims and Bakker (2012)的工作重塑量表，归纳出认知重塑、关系重塑、任务重塑三个维度，以衡量工作重塑。本研究量表采李克特五点问卷计分，依「非常不同意」至「非常同意」，分别给予 1 至 5 分，受测者分数愈高表示认知程度愈高，工作投入量表共 13 个题项。

3.2 研究框架

本研究拟以中国企业员工为研究对象，探讨个体工作压力对工作重塑的影响；同时针对中国社会的特点，在工作重塑变量的基础上，合理的定义和分类工作压力与工作重塑变量，通过对调研样本对中国企业员工进行实施问卷调查研究，建立回归模型，并考察工作压力、工作投入与工作重塑的关系。
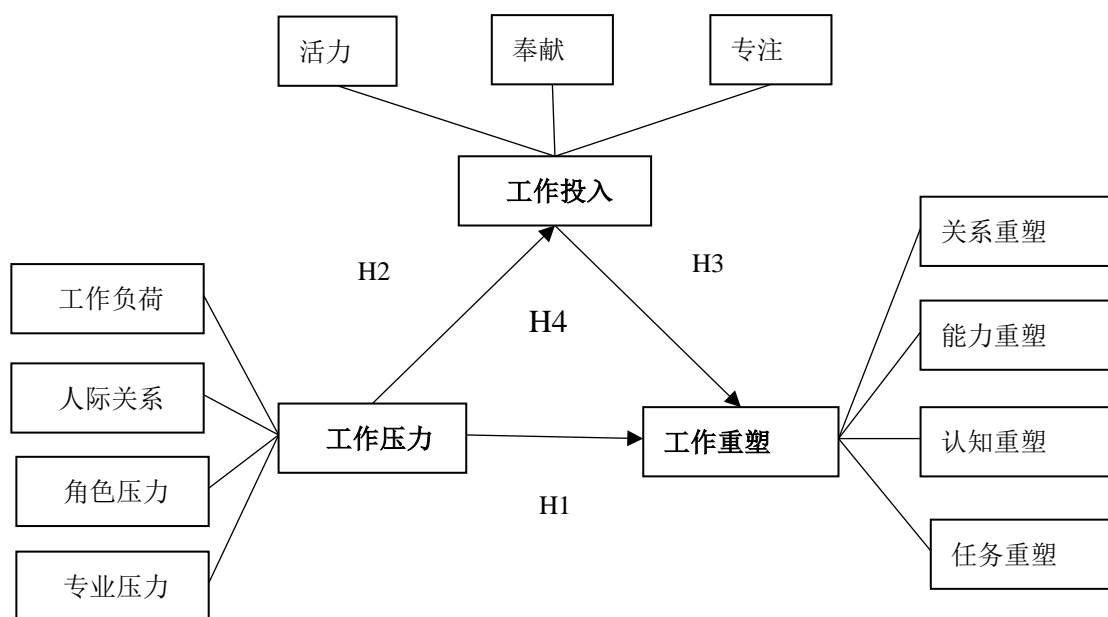
图一 研究框架图

3.3 数据收集和分析

本研究以企业员工为调查对象，研究对象不受企业性质影响，因而此次研究对象涉及到教育业、金融业、快速消费品业等多个行业的多家企业。由于人力、经费、时间上及本研究社会关系的限制，本研究采用便利抽样方式进行发放正式问卷，通过微信、QQ、电子信箱等网络通讯工具转发电子问卷，本研究共发放问卷 500 份。并计划在删除无效问卷并取得有效样本。本研究的数据分析工具为 SPSS 21.0 和 AMOS 22.0 统计分析软件，并运用了描述性分析、信效度分析、相关分析、回归分析等数据统计分析方法进行数据分析。

4. 研究结果

4.1 基本资料分析

从样本性别分布来看，性别中男性是最多的，男性占有 285 个，占百分比 56.2%，女性占有 222，占百分比 43.8%。在年龄中 35 岁至 44 岁阶段的人数最多，25 岁以下的人数是 48，占百分比 9.5%，26 至 34 岁的人数是 147，占百分比 29.0%，35 至 44 岁的人数是 279，占百分比 55.0%，45 至 54 岁的人数是 31，占百分比 6.1%，55 岁以上的人数是 2 名，占百分比 0.4%。在学历中大专学历的人数是最多的，有 78 人是高中以下，占百分比 15.4%，217 人是大专学历，占百分比 42.8%，194 人是本科学历，占百分比 38.3%，18 人是硕士以上，占百分比 3.6%。在工作时间中工作 3 到 5 年的人数是最多的，98 人工作 1 到两年，占百分比 19.3%，225 人工作 3 到 5 年，占百分比 44.4%，138 人工作 6 到 9 年，占百分比 27.2%，46 个人工作 10 年以上，占百分比 9.1%。在职务中基层管理者的人数是最多的，160 名是普通员工，占百分比 31.6%，178 名是基层管理者，占百分比 35.1%，146 名是中层管理者，占百分比 28.8%，23 名是高层管理者，占百分比 4.5%。在产业的类别中制造业的人数是最多的，78 人是教育业，占百分比 15.4%，136 人是金融业，占百分比 26.8%，164 人是制造业，占百分比 32.3%，37 人是 IT 行业，占百分比 7.3%，92 认识其他行业，占百分比 18.1%。

4.2 信度分析

信度的一般判断方法为：大于 0.8 最好，大于 0.7 可行，大于 0.6 需修正量表，整体而言各构面量表之信度皆有超过或达到 Hair, Anderson, Tatham and Black (1998) 所建议可接受 0.7 之标准为佳，具体到本研究的内容，相关调查数据采用 SPSS 22.0 软件依次对各变量进行了信度分析，以 Cronbach's α 系数进行说明，研究分析结果为：工作压力 Cronbach's α 系数为 0.916 大于 0.8；工作投入 Cronbach's α 系数为 0.883 大于 0.8；工作重塑 Cronbach's α 系数为 0.886 大于 0.8；从以上的数据分析可以看出衡量各个变量及构面的测量工具具有良好的稳定性及可靠性。

4.3 效度分析

本研究先是用主成分法做探索性因子分析，在这过程中，对提取的公共因子用最大方差法进行旋转，在得到的因子矩阵中进行筛选，只保留因子载荷大于 0.5 的选项。得出的因子结构是否与理论相符合，来初步判断因子结构，为了进一步确认问卷结构效度中的聚合效度和区别效度是否符合要求，再进行验证性因子分析。

4.3.1 验证性因子分析

表一 验证性因子分析的拟合指标

统计检验量	理想值	工作压力	工作投入	工作重塑
χ2		150.730	66.130	74.639
Df		131	51	61
P	＞0.05	0.114	0.076	0.113
χ2/df	＜2.00	1.151	1.297	1.224
RMR	＜0.05	0.033	0.033	0.030
SRMR	＜0.05	0.027	0.030	0.029
GFI	＞0.90	0.969	0.979	0.978
AGFI	＞0.90	0.960	0.968	0.967
NFI	＞0.90	0.968	0.976	0.976
IFI	＞0.90	0.996	0.994	0.996
CFI	＞0.90	0.996	0.994	0.995
RMSEA	＜0.08	0.017	0.024	0.021

从表一 可以看出：3 个量表的验证性因子分析拟合指标结果显示每一个拟合指标都达到标准值，因此工作压力、工作投入、工作重塑量表的验证性因子分析通过。

表二 验证性因子分析的拟合指标

		Estimate	S.E.	C.R.	P	Standardized Estimate	CR	AVE
工作负荷	<--- 工作压力	1.000				0.750		
人际关系	<--- 工作压力	1.102	0.105	10.507	***	0.781		
角色压力	<--- 工作压力	1.032	0.099	10.453	***	0.718	0.828	0.547
专业能力	<--- 工作压力	1.025	0.099	10.355	***	0.706		
工作负荷 1	<--- 工作负荷	1.000				0.759		
工作负荷 2	<--- 工作负荷	1.015	0.054	18.742	***	0.838		
工作负荷 3	<--- 工作负荷	0.973	0.056	17.247	***	0.782	0.864	0.614
工作负荷 4	<--- 工作负荷	1.029	0.062	16.597	***	0.753		
人际关系 1	<--- 人际关系	1.000				0.778		
人际关系 2	<--- 人际关系	0.807	0.054	14.836	***	0.677		
人际关系 3	<--- 人际关系	0.939	0.056	16.783	***	0.779	0.838	0.565
人际关系 4	<--- 人际关系	0.958	0.056	17.087	***	0.768		
角色压力 1	<--- 角色压力	1.000				0.828		
角色压力 2	<--- 角色压力	0.818	0.052	15.754	***	0.686		
角色压力 3	<--- 角色压力	0.839	0.050	16.796	***	0.721	0.844	0.576
角色压力 4	<--- 角色压力	0.948	0.051	18.730	***	0.792		

表二 验证性因子分析的拟合指标(续)

			Estimate	S.E.	C.R.	P	Standardized Estimate	CR	AVE
专业能力 1	<---	专业能力	1.000				0.789		
专业能力 2	<---	专业能力	1.024	0.049	20.768	***	0.844		
专业能力 3	<---	专业能力	0.903	0.049	18.255	***	0.760		
专业能力 4	<---	专业能力	1.024	0.048	21.224	***	0.853	0.894	0.587
专业能力 5	<---	专业能力	0.814	0.049	16.679	***	0.706		
专业能力 6	<---	专业能力	0.694	0.049	14.202	***	0.621		
奉献	<---	工作投入	1.000				0.742		
活力	<---	工作投入	0.996	0.125	7.979	***	0.753	0.760	0.515
专注	<---	工作投入	0.934	0.114	8.206	***	0.653		
奉献 1	<---	奉献	1.000				0.751		
奉献 2	<---	奉献	0.991	0.063	15.855	***	0.717		
奉献 3	<---	奉献	1.040	0.064	16.308	***	0.727		
奉献 4	<---	奉献	0.918	0.063	14.583	***	0.660	0.883	0.558
奉献 5	<---	奉献	1.003	0.060	16.691	***	0.746		
奉献 6	<---	奉献	1.177	0.060	19.716	***	0.866		
活力 1	<---	活力	1.000				0.751		
活力 2	<---	活力	1.170	0.068	17.108	***	0.843		
活力 3	<---	活力	1.065	0.067	15.781	***	0.766	0.830	0.620
专注 1	<---	专注	1.000				0.796		
专注 2	<---	专注	0.904	0.064	14.204	***	0.728	0.782	0.546
专注 3	<---	专注	0.838	0.063	13.368	***	0.689		
认知重塑	<---	工作重塑	1.000				0.662		
关系重塑	<---	工作重塑	1.052	0.115	9.172	***	0.683		
任务重塑	<---	工作重塑	1.263	0.129	9.803	***	0.815	0.812	0.521
能力重塑	<---	工作重塑	1.135	0.120	9.454	***	0.718		
认知重塑 1	<---	认知重塑	1.000				0.792		
认知重塑 2	<---	认知重塑	1.050	0.058	18.172	***	0.852	0.838	0.634
认知重塑 3	<---	认知重塑	0.915	0.056	16.223	***	0.740		
关系重塑 1	<---	关系重塑	1.000				0.801		
关系重塑 2	<---	关系重塑	1.053	0.061	17.377	***	0.803	0.834	0.625
关系重塑 3	<---	关系重塑	0.923	0.055	16.653	***	0.768		

表二 验证性因子分析的拟合指标(续)

			Estimate	S.E.	C.R.	P	Standardized Estimate	CR	AVE
任务重塑 1	<---	任务重塑	1.000				0.851		
任务重塑 2	<---	任务重塑	0.972	0.052	18.787	***	0.778	0.850	0.655
任务重塑 3	<---	任务重塑	0.995	0.051	19.634	***	0.797		
能力重塑 1	<---	能力重塑	1.000				0.818		
能力重塑 2	<---	能力重塑	0.890	0.053	16.837	***	0.740		
能力重塑 3	<---	能力重塑	0.821	0.057	14.480	***	0.651	0.830	0.550
能力重塑 4	<---	能力重塑	0.915	0.054	16.919	***	0.749		

从表二中，可以看出，影响工作压力的因素有四个，工作负荷，人际关系，角色压力和专业能力，从每一条路径来看，在工作压力中，工作负荷的标准化估计是 0.570，人际关系的标准化估计是 0.781，角色压力的标准化估计是 0.718，专业能力的标准化估计是 0.706，说明在工作压力中，人际关系这一因素对工作压力影响最大。在工作投入中，活力的标准化估计是 0.753，奉献的标准化估计是 0.742，专注的标准化估计是 0.653，说明在工作投入中，奉献这一因素对工作投入影响最大。在工作重塑中，认知重塑的标准化估计是 0.662，关系重塑的标准化估计是 0.683，任务重塑的标准化估计是 0.815，能力重塑的标准化估计是 0.718，说明在工作重塑中，任务重塑对工作重塑影响最大。

4.4 结构方程模型

表三 结构方程模型的拟合指标

统计检验量	理想值	检验结果
χ^2		1001.987
df		1.184
p	＞0.05	0.000
$\chi 2/df$	＜2.00	1.184
RMR	＜0.05	0.041
SRMR	＜0.05	0.037
GFI	＞0.90	0.919
AGFI	＞0.90	0.910
NFI	＞0.90	0.914
IFI	＞0.90	0.986
CFI	＞0.90	0.985
RMSEA	＜0.08	0.019

从表三的结构方程拟合指标可以看出：除了 P 值没有达到参考标准值之外，因为 P 值受样本和参数估计数目的影响较大，不能直接说模型不可以接受，其他的拟合指标都拟合得非常好，因此综上可以得出本次研究建立的模型是可以接受的。

<div align="center">表四 模型路径分析</div>

			Estimate	Standardized Estimate	S.E.	C.R.	*p*
工作投入	<---	工作压力	0.484	0.572	0.063	7.644	***
工作重塑	<---	工作压力	0.266	0.307	0.063	4.215	***
工作重塑	<---	工作投入	0.511	0.499	0.088	5.772	***

从上表四可以看出，工作压力对工作投入的标准化估计为 0.572，对应的 P 值在 0.001 水平上达到显著，说明工作压力对工作投入有显著的正向影响，假设 H2：工作压力会正向影响工作投入成立；工作压力对工作重塑的标准化估计为 0.307，对应的 P 值在 0.001 水平上达到显著，说明工作压力对工作重塑有显著的正向影响，假设 H1：工作压力会正向影响工作重塑成立；工作投入对工作重塑的标准化估计为 0.499，对应的 P 值在 0.001 水平上达到显著，说明工作投入对工作重塑有显著的正向影响，假设 H3：工作投入会正向影响工作重塑成立。

为了进一步验证中介效应，研究采用 Bootstrap 中介效应检验法检验中介效应是否显著，方法采用 Bootstrap ML，重复抽样次数 5000 次，进行中介效应结果检验，见表五所示：

<div align="center">表五 Bootstrap 中介效应结果</div>

效应值	路径	Standardized Estimate	P
标准化直接效应	工作压力-工作重塑	0.307	0.000
标准化间接效应	工作压力-工作投入-工作重塑	0.572×0.499=0.286	0.016
标准化间接效应	工作压力-工作重塑	0.307+0.286=0.683	0.000

从上表五可以看出：工作压力-工作重塑的标准化直接效应是 0.307，P 值为 0.000，说明它直接效应显著。工作压力-工作重塑的标准化总效应是 0.683，且 p 值为 0.016，达到显著，说明工作压力影响工作重塑。工作压力-工作投入-工作重塑的标准化间接效应为 0.286，对应的 P 值 0.05 水平上达到显著，说明工作投入在工作压力对工作重塑的影响中起到中介作用，中介作用所占总效应的百分比为 41.9%，说明存在的中介效应是较大，假设 H4：工作投入具有中介作用；工作压力会通过工作投入正向影响工作重塑成立。

5. 研究结论与建议

5.1 研究结论

第一，在管理企业的过程中，应培训员工的抗压能力，促使员工在高强的压力中，能够很

好的应对工作中的问题。在工作以外，加强体力的锻炼和自身心理的疏导。在工作中，应该多与同事领导进行沟通，加强人际关系。管理者应该对员工进行不定时的专业知识培训，其中包括知识的灵活运用，理论的实践，协调与协作的能力，是员工在遇到困难问题时，能够冷静快速的进行处理。

第二，从企业管理者的角度出发，对不同的员工进行不同的重塑培训，使员工最大化的在工作中发挥最大的效用。在公司中，舒适的工作环境和融洽的人际关系更利于员工身心的健康发展，领导对于员工的关心至关重要，这会给员工带来足够的安全感，根据本论文的研究，得知人际关系影响工作压力，因此员工之间的和谐互助关系，不仅影响员工个人是否能够最高效率的完成工作，还关系到组织，公司的核心凝聚力。

第三，在员工进行工作认知重塑时，正确的引导员工的认知重塑，更好的能够了解自身的工作价值，再进行相应的工作改变。任务重塑在实现个人价值中也尤为重要，在工作中，企业管理者应该鼓励员工尝试不同的工作类型，使其找到个人价值的最高点。企业应该定期的总结和反馈，有效的反馈是对员工负责任的一种表现，既是对工作的总结，也是新的重塑计划基础，才能知道及时补充或者更改，这尤为重要。

第四，注重企业员工的职业生涯计划，在企业中根据不同特点的员工建立不同的职业发展计划，让员工能够明确目标，认准目标才能坚持不懈地工作，这个一个自我激励很重要的过程。通过激励和暗示，发挥员工的潜能，不断突破自身的局限性，从而在工作中为了长期稳定的职业生涯发展，做出理性的选择，不计个人得失，多位企业的利益和个人的长远发展着想，勤恳努力，适当的重塑自己的工作，投入更多的热情到工作中去。

5.2 研究限制及相关建议

由于地域，经费，时间，资源，经验以及客观环境因素等原因，本研究具有一定的局限性；本研究只研究了工作压力中的工作负荷，人际关系，角色压力及专业能力四个因素，工作投入中的奉献，活力及专注三个因素，工作重塑中的认知重塑，关系重塑，任务重塑及能力重塑四个因素，对于工作压力，工作投入及工作重塑的影响研究中，其具有一定的局限性，工作压力的影响因素可能还有多，在后续的研究中可以加入其他研究变量，或者进一步的对变量进行拓展分析。

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A Study on Marketing Design of Old-age Consumption Trust

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Abstract

The aging of the population has become one of the major social problems in China. The development of pension trust has become a feasible way to cope with the challenges of aging and develop the pension financial industry. In order to better promote the marketing practice of consumer trust products for the aged, this paper puts forward the following countermeasures: paying attention to the target customers in the middle-aged stage of high net worth; reducing the admittance standard of clients; increasing financial education; improving and refining industrial integration. The research can fill a gap in the literature; thus, increase the level of understanding of the development of the trust industry. Furthermore, research also could equip managers in financial sectors with more realistic analytical and practical tools.

Keyword: Pension Finance, Consumption trust, Trust product marketing

养老消费信托产品的营销方案研究

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摘要

当前中国已经进入了人口老龄化时期，但目前中国整体养老水平低，保障制度单一，养老领域的金融产品缺乏甚至空白。发展养老信托成为应对老龄化挑战，发展养老金融产业的可行路径。为更好推动养老消费信托产品的营销实践，本文提出以下对策：关注高净值中年阶段目标客群；降低委托人准入标准；加大金融教育；完善和细化产业融合。本研究的贡献可能有以下：为这一独特行业的研究挖掘新的依据，从而增加对信托业发展的了解水平。为信托公司丰富产品类型及结构，创造更大的竞争优势，为金融部门经理提供更现实的分析和实用工具。

关键词： 养老金融 消费信托 信托产品营销

1. 绪论

中国逐步进入老龄化社会已经是一个得到大家广泛讨论及认同的话题。据中国国家统计局公布的数据，2018 年中国 65 岁以上人口比重达到 11.9％，0-14 岁人口占比降至 16.9％，预计到 2030 年中国将迎来人口老龄化的高峰，人口老龄化程度持续加深。与此同时我们也可以看到老年群体消费需求的缺口，养老消费将持续增长。

1.1 中国信托业概述

中国信托业的历史可以追溯到 30 年前，近年来更是成为中国金融体系中增长最快的非银行金融子行业，自 2007 年开始快速增长，2010 年以来在产品多元化和金融创新方面取得了突破。在梳理文献的过程中，可以明确的是信托产品多样化和金融创新是一项有价值且可行的研究课题，其中养老消费信托作为适应中国国情而由中国信托公司专门为满足本地客户的需求而设计，可以将其视为信托业务中的金融创新。所以本研究的不仅可以填补一定理论及文献空白，也对更好推进创新金融产品在中国市场的营销实践具有一定实际意义。

1.2 本研究内容及研究问题

本研究的第一节中，首先概述了中国信托业发展现状，中国信托公司的职能变化，来解释面对中国老龄化挑战下养老消费信托产品在中国金融市场中日益重要的作用；然后界定了养老金融、养老信托、养老消费信托几个重要概念，同时梳理了各阶段经典营销理论在金融市场中的运用，对现有的创新金融产品的营销方案进行了分析及研究，并得出结论，养老消费信托作为创新金融产品，其在金融市场上的面临着的营销痛点及难点，需要制定具有针对性的营销方案，根据以上背景及期望达到的研究意义，本研究拟提出以下研究问题：

A.中国如何开展养老信托业务实践？（金融产品营销难点及痛点及目标客群是哪些？）

B.设计符合中国目前养老金融市场的信托产品需要考虑的因素是什么？

2. 文献综述

2.1 养老金融

如何界定养老信托这个概念？首先要了解，养老金融是养老资产投资于金融市场的总称，而养老信托属于信托行业的业务类型之一，属于养老金融领域。金融以具有时间价值及风险管理为核心，养老金融市场的对接对象包括有保障功能的政府社保机构的社保养老基金，企业年金，有养老金融需求或养老服务需求的公益或商业养老机构，有养老保障需求的个人或家庭。因此，养老金融可以分为银行养老理财、商业养老保险、养老证券、养老基金、养老信托等。

2.2 养老信托

养老信托是信托业务的类型之一，是以解决老龄人口的养老问题而开展的信托业务（郑则鹏，2012）。尹隆（2014）认为，养老信托作为信托的一个子类，是一种新型的金融工具，可以较好地实现养老服务、养老理财和财富传承的功能。建议通过养老投资基金和遗嘱信托等开展养老信托。由此可见养老信托在养老金融中的地位十分重要，在中国老龄化的背景下优势也十分明显。养老信托与我们常见的养老金金融和企业年金金融的主要区别在于资金管理者不同，前者通常是个人或者家庭作为委托人将资金或资产委托费信托公司，并实现养老资产的保值增值或养老需求的满足，而后者通常是具有公共管理职能的部门或者机构，处于对其下属成员的养老保障进行负责。当前我国养老信托的主要产品包括养老融资信托、养老投资信托、养老金信托、养老消费信托、养老公益信托、养老财产信托等多种形式。养老信托具备金融特性，如信托财产独立、信托收益确定，信托财产保障性强等，能够为应对老龄化挑战、发展养老金融产

业的提供可行性解决方案。

2.3 养老消费信托

养老消费信托作为养老信托的一种典型模式，是指信托公司与养老服务机构联手，投资者在购买信托产品之后，在获得现金收益的同事获得养老服务的权益（王跃，2014）。消费信托 2013年由中国国际信托投资公司引入中国，是为了满足客户需求，信任公司被委托通过特定方式选择产品集中采购，从而减少消费成本并提供新的公司融资渠道。消费信托具有如下特点：目的是获得消费权益而非资产增值；收益方式为"理财+消费"；具有消费者消费门槛低，普惠金融特点；将前端融资与后端消费需求结合，产融结合。就目前而言，中国老年市场仍然存在服务空白及产品空白问题，面对未来消费需求，金融投资与养老服务的双重属性，将是信托公司发展及转型的突破口。

在中国信托业协会的资料可以看出，有一些新产品，例如 REIT，消费信托，家庭信托和资产支持证券化。REIT，家庭信托和资产支持证券化等新产品是在西方发明的，但现在作为新产品并已经进行了修改以适合中国国情，由平安信托（PAT）或中国国际信托投资公司（CITIC）引入中国。但是，土地流转信托，消费信托和结构性基金信托等产品是中国信托公司专门为满足本地客户的需求而设计的，可以将其视为信托业务中的金融创新。由此可见本研究将养老消费信托作为研究对象，是具有一定现实意义的。

2.4 营销理论

梳理文献可知，围绕商品进行发展的营销思想和理论，在现有阶段上，并不能够完全适用于金融产品领域的应用。针对金融产品的营销研究，最初主要集中在商业银行方面，王先玉（1999）的《现代商业战略管理和营销管理》，彭雷清（2002）的《银行业市场营销》等学者的理论研究都把重点放在客户需求、客户关系的建立与维护之上。3P 影响理念包括：Permission（准许）、Privacy（隐私）、Preference（偏好），之后不断创新创建了 3P 营销原则，即 Pervasive（无处不在），可口可乐随时随地可取；Price Relative to Value（物有所值），可口可乐产品必须符合生产规定，物有所值；Preferred（情有独钟），旨让可口可乐成为消费者心中的最佳饮品。通过可口可乐成功的案例，国外 Bessis.J.（2010）开始将 3P 营销理论应用到养老消费信托产品营销中，并取得较大收获。潘蕾、张梦迪、孟庭羽（2016）主张"消费信托"来实现普惠养老，并用互联网平台实现最大程度的营销覆盖面，以此作为普惠金融产品的重要营销手段。张竞丹（2016）认为，消费信托的发展要结合互联网理念，利用大数据实现营销数据的精准筛选，确定细分市场，精准定位。在 Engelen et al.（2010）的创新框架（frame-conjuncture-bricolage framework）下，信托公司利用内部和外部因素来开发其产品档案的方式仍待探索。本研究将金融创新框架与战略管理理论相结合，通过创新框架为我们提供了替代主流战略管理方法的方法，以帮助分析中国信托公司的产品营销。

2.5 小结

通过以上文献的探讨，为更好推动养老消费信托产品的营销实践，针对养老消费信托产品的营销模式，可提出以下对策：关注高净值中年阶段目标客群；降低委托人准入标准；加大金融教育；完善和细化产业融合。信托公司拥有丰富产品类型及结构，才有可能创造更大的竞争

优势，金融部门经理在进行营销分析时需要更现实的分析和实用工具。

3. 研究设计

本文拟用文献研究、调查研究法，通过对国内外文献的整理及相关调查结果，参考以往具体案例，对金融环境进行微观及宏观分析，从消费者角度，使用中国国家局现有统计数据探索他们的养老需求。后期通过 2 次问卷调查的方式对消费者进行受益-风险分析，探讨养老消费信托产品的营销方案设计。采用线上调研方式开展，在线问卷发放为主，辅以"现场拦截"，问卷主要包含个人信息状况；关于养老消费信托的需求及了解状况调查。预计发放 300 份，回收率保证在 96% 以上。

在原有创新框架基础上，结合战略 3P(Positioning,Price,Participant)理论，分析中国信托公司的产品营销。通过调查研究方法，寻找目标消费者的需求，通过目标客群的走访调查和问卷调查，对消费者的消费情况及预期消费观念进行调查，以消费者收益-风险角度进行分析；通过专家访谈信托公司、产业方，以供给者收益-风险角度分析，讨论营销推广的难点，解答研究提出的问题。

4. 研究结论

4.1 营销环境，目标客群分析

受传统经济影响，老年群体积蓄多消费少，具有较大的消费空间，所以消费能力还有待挖掘。银行、保险公司、基金公司相对于其他金融产业服务老年群体较多，推出的产品主要集中在地产、社区建设，在消费产品上少有涉及，虽然受到关注较多，但金融行业的主体产业信托业却未能够发挥重要作用。互联网和金融的有机结合使得我们的生活越来越便利，我们也更愿意相信大数据分析经济带来的便利。养老消费信托自带普惠金融特性，及服务老年群体又可以打破传统信托限制，更容易让人接受。在市场化经济理论指导下，通过政策和方向的指引 ，提升老年群体的消费水平和生活水平，也有利于 GDP 的稳定增长。整体来说营销环境是有利于行业发展的。

对于客群定位，考虑到以上营销环境的特性，本研究主要参考以下维度进行客群定位：年龄、支付能力、文化程度、决策人。不同年龄阶段需求不一样，年纪偏低（低于 70 岁）人群更在意文化娱乐及精神慰藉需求，高于 70 岁的中老年人群医疗护理需求更高。支付能力与子女孝敬资金有关，对养老产品及服务品质有高要求的人群，文化程度越高，支付能力较强；决策人因素主要是从 3P 战略中的利益共同体（Participant）进行考量，考虑子女是否出资帮助父母进行养老投资，也很大程度影响自己和父母的养老消费模式。

4.2 消费者角度收益-风险分析

从消费者角度来看，通过购买养老消费信托产品能够满足消费者低成本购买高价值商品的欲望。在履行消费权益时，获得良好消费体验是十分重要的，而养老消费信托区别于传统信托产品，消费者关注更多的则是消费权益的体现，因此可能会与实际产生差别，这就造成了操作

风险，如果达不到预期效益，还会带来违约的风险。网络的高速发展带来了方便快捷的支付方式和较好的价格优势，使得养老消费信托产品的收益得不到高效回报，因此会存在着收益风险。

4.3 供给者角度收益-风险分析

4.3.1 信托公司角度

第一，监管风险。就信托公司而言，其所强调的收益模式主要表现为"理财+消费"，但基于养老消费信托公司起步较晚，运营相对不成熟，因此，其在运营过程中难免会大规模复制其他同类行业的运营流程，业务模式和投资门槛过低为一些信托公司提供了监管漏洞，由此，一些不法商家便会借助这漏洞进入营销渠道，由此反映信托公司存在的监管风险。

第二，运营风险。就养老消费信托而言，其运作模式与其他信托公司运作模式有所区别，其角色转变是从中介方转变为了服务商。因此，在其今后的运营管理中将面临巨大考验。再加上养老消费信托产品准入门槛较低，在实行真正的运营管理时难度较大，存在一定管理风险。

第三，盈利风险。由于养老消费信托属于服务型企业，其盈利性与其他企业相比较小，在盈利问题仍然存在不小的困惑。在国内，尽管有些养老信托产品已经落地，但其在后期的收益兑付过程中，很多客户会选择放弃消费权益，实行理财收益，这就使消费信托失去其原有的意义，无法推动消费增长，给消费信托公司带来一定压力，存在较大的盈利风险。

4.4 战略 3P 方案设计研究

4.4.1 战略定位

通过对养老消费信托进行收益-风险分析，对 3P 战略方案设计进行定位，具体分析情况如表一所示。

<center>表一 养老消费信托的收益-风险分析</center>

参与主体		收益	风险
消费者		消费者普遍希望获得更高的折扣率，希望值通常大于 5%	消费者实际对消费权的行使要劣于预期，实际行使流程较为复杂
		超过一半的消费者希望自己可以获得 4%-5%的综合收益	由于消费者年龄及知识水平的限制，其在行使和放弃相关权益的时候容易发生违约
供给者	信托公司	老年消费群体希望自己的老年生活能够得到保障，尤其在旅游、居住等方面的权益	实际体验与预期不相符合，产业方在为老年消费者提供服务的同时忽视质量
		利于获取新客户群体	操作流程复杂，风险性较高
		对产业转型有一定要求，要有利于突破信托产业发展瓶颈，加强产业创新	消费者一旦放弃自己的消费权益就会给相关企业带来一定的投资压力
	产业方	促进销量，促进交易成本管控	
		精确目标客户	
		借助信托公司实现自身产业增值	加强与客户的沟通交流，避免引起客户不满

通过上述养老信托的收益-风险分析，将养老信托消费的目标客户定位在 37-66 岁且注重生活质量的群体。就目前养老消费信托产品市场状况来看，相对不太成熟，虽有部分产品问世，但距预期的营销效果都有一定距离。因此，信托公司应根据目标客户定位，深入了解目标客户群体的消费趋向，填补当前市场需求的空白，将产品定位放在相对空白的细分市场上，从而促进自身转型升级。基于中小规模的信托公司，应启动并存策略，跟随大公司的营销方案设计，设计属于适合中小企业发展的营销模式。

4.4.2 价格规范

分析方式同战略定位，通过对养老消费信托的收益-风险分析，得出当前消费群体的普遍希望自己能够获得更高的折扣率，且其希望值通常大于 5%，从侧面反映出这一消费群体希望自己的实际支付的价格要基本达到低于市场价格的 10%的折扣率，据对发行过的消费信托产品的调查，了解到当前试产消费信托产品价格大多数能够满足广大消费者对折扣率的希望，这说明相关企业在产品折扣方面对消费者的吸引力还是相对比较大的。因此，就信托企业而言，其在规范产品价格时，应注意对价格结构进行优化调整，参考养老消费信托的收益-风险分析，讲产品折扣率调整为 5%-10%，从而再保证自身利益的同时，最大限度的满足消费群体预期要求。

4.5 总结

本文在养老消费信托行业转型的紧迫背景下，在老龄化日益加剧的社会大环境下，立足于养老信托产品，旨在对养老消费信托营销实施 3P 战略模式进行了详细分析，从收益-风险角度，分析了消费者和供给者各自的收益-风险，在此后又分别对信托公司及产业方进行收益-风险分析，进而提出战略定位及价格规划的具体方法建议，以期推动养老消费信托营销方案设计的有效性，为信托产品营销工作提供了较为灵活的思路。

5. 讨论与建议

通过文献及历史数据，中国储蓄型的消费观念，目标客群的特征包括缺少金融知识，利益共同体即决策人的消费心理及需求，这些都是在设计信托产品时需要考虑的因素。而营销在充分考虑 3P 战略前提下，难点也在于目前金融产业中的制度与市场不同步，养老消费信托作为一种新型信托结构，其在未来的发展过程中离不开自我调整，针对养老消费信托的营销模式，我们还可以在以下几个方面进行尝试：

A.扩大推广渠道，提高产品知名度

B.举办社群体验，提升顾客的粘性

C.体验反馈制度，增加公众信服力

D.利用明星效应，刺激投资者消费

另一个方面，养老消费信托的发展还离不开国家政策的支持与保障。就目前来看，在市场上的各种养老消费信托企业虽然在一定程度上突破了"合格投资者"的限制，但其在法律层面仍处于擦边状态，稍有不慎就会触碰法律底线。因此，在养老消费信托发展的同时，应为其创造一个良好的法律环境，促进相关业务合法开展。另外，从监管角度考虑，当前养老消费信托企业监管不力现象比比皆是，极大程度上影响了相关业务的开展，由于养老产业是享受优惠政策

的，这就使一些不法企业钻了空子，出现套利现象，针对该现象，相关监管部门应加强资格审查力度，为养老消费信托产业提供良好的市场监管环境。

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Desired Attributes of network information channel and Medical guide Service: A Case Study of Medical Tourism in Thailand

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Abstract

In this study, the authors aim to discover the desired network information channel of Chinese medical tourists for medical service providers to provide the best treatment guide service. The findings of this study challenge previous studies by suggesting that information channels and medical guide service considerations are pre-eminent regardless of the type of treatment or destination selection sought. Certain types of medical procedures also influence the decision-making processes of medical tourists when they are looking for medical service providers. It is recommended that medical service providers improve their medical facilities and the qualifications of their medical staff to a high global standard and well know the role of information channel and guide service online in order to gain the attention of prospective medical tourists.

Keywords: effective communication; Medical tourism; Information interaction channel；guide service online

网络信息渠道和医疗指导服务的期望属性-以泰国医疗旅游为例

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摘要

在这项研究中，作者旨在为医疗服务提供者寻找所需的中国医疗游客网络信息渠道，以提供最佳的治疗指导服务。这项研究的发现挑战了以往的研究，认为无论治疗类型或目的地选择如何，信息渠道和医疗指导服务的考虑都是至关重要的。 某些类型的医疗程序还会影响医疗游客寻找医疗服务提供者时的决策过程。 建议医疗服务提供者将其医疗设施和医护人员的素质提高到较高的全球水平，并充分了解信息渠道和在线指导服务的作用，以吸引潜在的医疗游客。

关键词：医疗旅游 有效沟通 信息互动渠道 在线服务引导

1. 绪论

随着近五年中国经济及互联网技术的发展,中国已经成为世界旅游市场最重要的客源市场。2019 年是中国-东盟建立战略合作伙伴关系第 16 年, 泰国作为"一带一路"沿线国家之一, 与中国的经济合作十分密切。本文主要针对中泰两国的医疗旅游部分进行阐述。对中泰两国的基本营销讯息进行阐述, 如中国医疗游客的特征及消费型态; 泰国方面侧重如何选择有效信息交互渠道, 针对中国消费者进行有效的服务引导。

1.1 泰国医疗旅游市场

根据泰国公共卫生部表示, 美国杂志《CEOWORLD》将泰国列为 2019 年医疗体系最佳的第六位, 每年服务约 280 万医疗游客, 拥有全球 40% 的医疗旅游市场。泰国公共卫生部发布的《2017-2018 电子卫生战略计划》中表明, 泰国计划成为东盟的医疗中心。泰国的地理位置和旅游资源及政策支持等种种原因, 泰国医疗旅游发展至今, 早以优美的环境, 专业的医师护理队伍, 私人订制服务, 物美价廉吸引了全球很多医疗旅游者。泰国医疗旅游市场定位从最初的休养 Spa, 基础护理到如今的生育辅助, 整形美容, 抗衰治疗, 一直在不断更替与变换。

1.2 中国医疗旅游需求

中国方面看, 近五年来中国的互联网技术发展迅速, 信息交互渠道不断更新和提升, 中国消费者的消费模式产生了很大变化, 而中国人口基数大, 医疗资源不平衡及需求大的现实情况, 使得寻求海外医疗服务的需求不断增加, 包括重疾, 疑难杂症, 生育辅助, 休闲养生, 整形美容等。榆次同时, 中国医疗游客的特征表现出了低龄化, 目标性强的特点。对于海外医疗旅游, 有数据统计, 2016 年中国人海外就医总数 50 万人次, 2017 年突破 60 万人次。

根据中国旅游研究院发布的《中国出境旅游发展年度报告 2019》报告中指出, 主要出境目的地的消费特征, 既来源于出境游客的本身需求, 也联动与目的地的产品开发和服务引导。在出境游的信息来源上, 网站/BBS/论坛总体占比最高为 35%。由于中国互联网技术发展的速度十分快速, 也使得中国游客在进行海外医疗旅游消费决策时有别于其他地区与国家的消费者。比如本研究从消费者角度出发, 分析当前中国游客的信息获取渠道, 中国游客更依赖于网络间的信息获取, 对医护人员的专业素质要求较高, 这就为医疗旅游服务提供方如何做好产品开发和服务引导提供建议。

1.3 不同国家地区对中国医疗旅游市场的定位

韩国为例, 以"美容整形, 皮肤美容, 韩方, 健康体检, 牙科"等医疗观光品牌进行开发。"一站式"服务及训练有素的专业顾问, 一直以来都是亚洲医疗旅游的领导者; 日本则将目标客户定位在中国的富裕中产阶级, 力推"医疗观光业", 服务主要包括健康体检, 医疗和观光, 在重疾, 肿瘤癌症治疗及防御工作上力求特色吸引。泰国除了以医疗水平高, 倾向自然的抗衰理念, 物美价廉是其特色。印度则以其独特的印度草药为特色, 将传统医学疗法融入现时市场, 也受到很多患者推崇。

根据以往的资料来看, 中国目前仍然作为海外医疗输出国, 所以本研究立足于中国消费者海外医疗消费特征, 强需求, 信息互动要求高质量, 咨询服务要求有效等, 为泰国医疗服务提

供方找出有效的营销策略，两个关键的研究问题如下：

    A. 中国医疗旅游者在进行目的地决策时最关注的因素是什么？

    B. 泰国医疗提供商如何找到有效信息输出渠道，促进服务引导信息的有效流动？

本文通过以下方法解决了这些问题：

    A. 确定中国医疗游客特征和泰国医疗市场吸引力何在

    B. 识别医疗旅游活动中所需的关键活动，数据和信息

    C. 泰国作为医疗服务商如何运用网络进行有效沟通，增强客户的体验感，提升满意度

2. 文献探讨

2.1 医疗旅游

Heung 等（2010）认为，"医疗旅游"是指涉及跨境旅行以获得医疗服务的旅游行为。它通常包括休闲，娱乐和放松活动，以及保健和保健服务。医疗旅游（MT）行业在全球范围内正在兴起并发展壮大（Chuang et al,2014 年）。越来越多的国家/地区积极地将自己定位为医疗旅游（MT）目的地（Connell，2013 年）。在亚洲地区，印度，泰国，新加坡和马来西亚是最重要的医疗旅游目的地之一（Connell，2006 年）。1997 年泰国发生经济危机之后，领先的私立医院开始扩张，并寻求更多的外国客户作为额外的收入来源（Alberti 等，2014）。

对于不同的医疗需求，往往有与之对应的海外医疗目的地供患者选择。这也反应了医疗服务提供方的总体医疗特征。TRAM（Tourism Research and Marketing，TRAM,2006）在对全球医疗旅游的一份研究报告中，将医疗旅游产品和服务分为四个主要类别，包括疾病治疗，美容（增强）手术，保健和生殖（生育）。金一香，崔圭焕，李宗哲（2010）的研究指出医疗观光的选择属性可以分为 4 大类：医疗设施的质量，追求健康、信心、地理位置的接近性。从这两个观点来看，泰国目前的总体医疗特征是：美容手术，保健与生殖技术，医师团队背景，医疗设备及理念较先进，与中国交通便利，这些都符合中国游客选择海外医疗旅游目的地的偏好。

2.2 网络在医疗旅游中的作用

医疗旅游作为带有特定目的前提出游的消费行为，信息交换是整个行为的关键活动之一，这个过程的信息流通常在网络进行。在 Hanefeld（2015）的研究表明，网络对于了解治疗信息，提供者及目的地至关重要。对目的地和医疗服务提供者的选择很大程度上依靠非正式网络（包括网络论坛，个人推荐和支持小组）的结果。

在一般旅游业中，对计算机预订系统（CRS），全球分销系统（GDS），网站和信息交换标准等 IT 系统的采用已经普遍十分普遍。在医疗保健方面，众多学者（e.g. Adler-Milstein and Bates 2010; Hung et al. 2010; Abraham et al. 2011; Lluch, 2011）对医嘱录入（CPOE），电子病历（EHR），客户关系管理系统（CRMS）及其他相关技术都进行了广泛的讨论。但是，很少有研究是针对医疗旅游行业领域的 IT 技术运用。Chou（2002）专注于医疗保健信息门户网站，建议医疗保健提供商通过门户网站加速流程和提高同行竞争力。但 Cormany 和 Baloglu（2011）回顾了全球医疗旅行促进网站，尽管泰国是全球主要的医疗旅游目的地，但令人惊讶地是泰国并没有这样的网

站。

门户网站被认为是重要的营销渠道,可展示医生的经验和专业知识,并提供有关可用服务,治疗和设备的信息（Moghavvemi 等，2017）。Connell（2016）的研究表明，社交网络在塑造医疗旅游目的地的选择和决策方面发挥着重要作用。总而言之，现有研究多集中在如何使用 IT 技术进行市场营销和为医疗游客提供信息，没有关注医疗游客需要哪些数据和信息，他们习惯使用的信息获取渠道是哪些。可见医疗旅游提供者有必要了解目标客群对信息的广泛需求及所在网络环境，并尝试开发满足这些需求的特定交流资源。

2.3 线上服务引导

医疗旅游的潜在用户多为高净值人群，对服务体验要求高，现今的中国医疗旅游者已经不再满足医疗机构的门户网站单纯输出产品信息，使用邮件进行 CRM 管理等缺乏互动的服务内容。通常中国医疗旅游者获取海外医疗旅游信息的渠道通常有四类：

网络/社交媒体应用程序（医院网站、微博、微信公众号，搜索引擎）；

专业资讯平台（Patients Beyond Borders；Medical departure、微医 Wedoctor，新氧）

中介机构（优翔国际，盛诺一家，茵特里国际，春雨国际）

展会活动（Amazing Thailand Health & Wellness Trade Meet 2019 ，CITIE 广州旅博会）。

对于泰国的医疗服务提供方来说，挑选出符合中国医疗旅游者需求的特定交流渠道进行营销活动，才能将服务引导做到最有效。

3. 研究设计

确定研究问题及目标后，这项研究本质上是探索性的。因为每个产业链的利益相关者都是独特的，取决于每个医疗旅游目的地（Heung，2010）。不同地区的数据可能得出不同结果。本文选取泰国为医疗目的地，采用了深度访谈的方法进行探索，针对泰国医疗服务提供方及中国医疗旅游者，从泰国及中国医疗旅游业的利益相关者处获取主要数据，相关利益者（本例中为中国医疗旅游者、中国/泰国医院或诊所负责人，医疗旅行社或信息服务平台负责人，泰国政府相关部门负责人）的采访提供了有关医疗旅游的最新信息。同时对权威机构发布的中国医疗旅游者现有数据，新闻，白皮书，报告等资料展开收集。资料收集时间从 2018 年 7 月至 2019 年12 月。资料分析采用主题分析法（thematic synthesis），多种资料来源和多种资料收集方法，令数据来源源于三个不同的角度，运用三角互证（triangulation method）的方法增强研究结果的可信度和有效性。

3.1 步骤如下：

A. 制定适当的面试问题（如表一）

B. 采访医疗旅游行业相关专家（如表二）

C. 对医疗旅游业利益相关者进行访谈（如表三）

D. 在实际环境中观察医疗服务提供方及医疗旅游者的 IT 使用情况

E. 收集权威调研机构的相关新闻及报告

<p align="center">表一 从研究问题中得出的采访问题</p>

研究问题	采访问题	文献根据
泰国医疗旅游服务中的主要利益相关者（中国游客、中国旅行社/机构）在协作和网络方面如何相互联系？	泰国医疗服务流程 -您的公司/组织如何与医疗旅游供应链中的其他利益相关者合作或协作？ -您认为是否可以与其他组织合作以提高供应链的效率？ 您为什么现在不与他们合作？ -与供应链中其他利益相关者进行合作有哪些困难？ -您认为，在服务中进行有效协作的主要总体障碍是什么？如何解决这些问题？	Alberti, et al（2014）
信息是如何在泰国医疗旅游服务过程中流动的，以及如何使用 IT 促进流动？	泰国医疗旅游供应链中的信息流 -您通常与供应链中的其他利益相关者交换哪些数据和信息？ -医疗游客通常需要哪些数据和信息？ -在供应链中进行有效协作需要哪些信息？ -您使用什么信息技术和信息系统来促进与供应链中其他人的数据/信息交换？	Scaglione et al (2019) Moghavvemi et al. (2017)

<p align="center">表二 第一轮采访的专家的职位和组织机构</p>

序号	职位	所在组织或企业
1	副总裁：商务部 绩效发展，医疗旅游集群发展项目顾问	中小企业发展研究所（ISMED）
2	泰国旅游局驻广州办事处副处长	泰国旅游集群协会（TAT）
3	COO 执行总经理	曼谷一家私立医疗中心

<p align="center">表三 第二轮受访者，按业务类型分类</p>

业务类型	数 量
医疗相关合作机构	6
医疗服务提供者	25
酒店	12
旅行社	11

3.2 数据分析

涉及两个主要步骤，如下所示：

1.各种联系人，面试材料，其他辅助数据和书面文档。根据 Schutt（2012）的研究，这是定性研究的第一个正式分析步骤，因为它提供了一种开发和概述分析过程的方式，并鼓励对文本进行持续的概念化和战略化分析。

2.检查关系并显示数据有助于发现主题并从访谈数据中获得提示。本研究采用主题分析法（thematic synthesis）。Thomas and Harden（2008）提出了主题分析的三个阶段：逐行编码文本，描述性主题的发展以及分析主题的产生。这项研究旨在加深对泰国医疗旅游服务过程发生的信息流。寻求被采访者的方式行事的解释，以了解每种情况下真正发生的过程。

因此，第一轮编码分析将采访数据分为服务流和信息流。在每个组中，数据被编码为服务过程的三个描述性主题。即特征，当前做法和问题/挑战。对应于"信息流"组的另一个描述性主题是供应链服务过程内交换的数据或信息。在这一阶段，分别对访谈数据进行编码，然后比较结果。根据 Clarke 和 Braun（2006）的说法，大约有 80-85％的文本使用相同的描述性主题进行编码，这意味着编码器具有可靠性。然后得出六个分析主题（三个来自服务流，三个来自信息流）。

Harden（2008）提到此时的的分析主题即是综合的产物，解决了研究的问题。 在这种情况下，该主题是要了解泰国医疗旅游提供商与利益相关者（中国游客，旅行社，合作机构等）如何合作，过程中产生的数据和信息如何流动以及如何利用网络促进信息交换。进一步可以为如何做好网上服务指导，以吸引潜在中国医疗旅游者提供数据参考。

4. 发现，建议及讨论

4.1 发现

本节讨论有关泰国医疗旅游服务提供方如何关注中国医疗旅游者需求，使用 IT 支持信息交换，提供精准的服务引导。过往很多文献始终鼓励产业链中的利益相关者之间进行无缝整合和有效协作，因为这有助于增加竞争优势。然而，这项研究的结果显示出不同景象。尽管泰国有着医疗水平优良的专业机构，亦有政府政策支持，但是中国消费者对于来泰国进行医疗旅游的意愿依然未达到市场预期，从深度访谈结果上可以初步分析出，泰国医疗服务提供方主要面临以下两个问题：

对外部，不了解目标客群（中国地区）所在的网络环境及对医疗信息的准确需求；没有选择有效的信息交互渠道，缺乏服务引导；无法给服务中介机构让利

对内部,医疗机构本身没有尝试开发满足中国消费者需求的特定交流资源及信息交互渠道；缺乏医疗服务领域专业人才，无法熟练运用有效 IT 技术完成客户跟踪服务

4.2 建议

通过研究，针对泰国方面，对以上问题的建议是：

利用互联网大数据了解及分析潜在消费者的决策偏好，如搜索关键词，人口特征，消费客群画像等

学习和熟悉潜在消费者常用的信息获取方法，如门户网站添加微信客服连接，微博进行内容营销，使用微信进行客户关系管理，打造电子口碑

尽可能的保留具有医疗及营销专业技能的熟练员工，提供在线问诊，后期跟踪等即时互动以提高顾客重游率

尽可能保持多方协作，签约大型专业医疗咨询平台，同时打造自身团队的接待能力

另外针对中国医疗旅游者，也提出了几个建议：

医疗旅游旅客在进行消费中尽可能的选择专业信息平台

选用技术服务时考虑服务提供国的技术条件及运作模式

针对自身需求进行消费决策，选择医疗旅游最优组合，最后选择医疗目的地

4.3 讨论及展望

对于中国旅游企业，医疗市场仍处于早起阶段，市场成熟度不高，在激烈的市场主体竞争中更应该多借鉴成熟市场运营模式，收集各类数据，完善与发展自身市场。对于中国医疗旅游消费者来说，由于信息的不对称，面对各个医疗服务目的国各种各样的营销手段，在进行消费决策时应该多方关注，提高辨别力，筛选有效信息，正规渠道来帮助消费决策。泰国作为医疗旅游目的地和医疗服务提供方应更加关注和挖掘中国游客的旅游需求，更精细化，更有效地全面满足中国游客的需求，着力提升中国游客的体验感，是提升重游率的关键。但同时也应该看到现阶段研究的局限性。本研究在数据收集过程中只针对了泰国进行，仍存在一定的局限性，随着经济发展，商业格局与消费习惯依然会不断变化，应考虑在后期加入量化研究，增加数据支撑以建立研究模型，扩大研究成果的适用性。建议医疗服务提供者将其医疗设施和医护人员的素质提高到较高的全球水平，并充分了解信息渠道和在线指导服务的作用，以吸引潜在的医疗游客。

总而言之，随着两国在医疗旅游领域的交流与合作，目标都是既能满足中国消费者的医疗需求，又有利于全球医疗水平提升和医疗资源的有效分配，竞争与合作趋向积极，友善和精细化改进，无论从经济还是战略层面，力争取得双赢局面。

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The Influence of Female CEO Power on Risk Preferences – Based on the Empirical Study on China GEM Listed Companies

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Abstract

The research sample was selected as the female CEO of all gem listed companies from 2010 to 2018. After summarizing and analyzing the data, the following conclusion is drawn: in China gem listed company, the organizational power of female CEO has a positive correlation with risk preference. The larger the board of directors, the greater the organizational power of the female CEO, the greater the impact on the company, the greater the power to implement the risk strategy, and the higher the risk preference; the higher the expert power of the female CEO, the lower the risk preference. The ownership rights of women CEOs and the prestige power has no direct influence on the risk preference, which indicates that the ownership power and prestige power of the female CEO cannot have a direct influence on the risk preference. This study further explores the relationship between the power and risk preference of female CEOs in gem-listed companies in China. This paper holds that the governance of gem listed companies with different risk types should be analyzed and studied from managers themselves.

Keywords: Female CEO Power；Risk Preference；GEM listed companies

女性 CEO 权力对风险偏好的影响—— 基于对中国创业板上市公司实证研究

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摘要

在中国现在发展进程中，女性在其中的地位越来越突出，女性的力量逐渐进入到了大众的视野。本研究选取了 2010 年-2018 年间所有创业板上市公司中女性为 CEO 的公司作为研究样本，展开实证研究。得出以下结论：在中国创业板上市公司中，女性 CEO 的组织权力与风险偏好呈正相关关系。董事会规模越大，女性 CEO 的组织权力越大，对公司的影响越大，则其能够进行风险战略实施的权力也就越大，有着较高的权力自由度，那风险偏好越高；女性 CEO 的专家权力越高，其风险偏好越低。而女性 CEO 的所有权权力和声望权力对风险偏好没有直接影响，表明女性 CEO 的所有权权力和声望权力并不能对风险偏好产生直接影响。本文的研究进一步探究了在中国创业板上市公司中女性 CEO 的权力与风险偏好的关系。本文认为，针对不同风险类

型的创业板上市公司的治理，最终还是得从管理者本身为切入点进行分析研究。

关键词：女性CEO权力；风险偏好；创业板上市公司

1. 引言

　　二十一世纪的中国，随着改革开放的步伐，商场环境对女性领导的接纳程度有所提高，这使得商业界出现了更多女性管理者，以一些独特的管理方式和对特定事物的独特见解脱颖而出，使得当今社会更加关注以及重视来自女性的力量。在国内之前的研究中，对于女性 CEO 的研究还处于研究的初期，还比较碎片化。大部分对于女性 CEO 的研究集中在于研究女性 CEO 特征对于风险投资或者风险规避的影响上，并且集中于以 A 股上市公司为背景进行研究，对于女性 CEO 本身具有的权力与风险偏好的影响还相对于比较少，而就当前的市场情况来看，中小板上市企业的公司都比较新，规模相对于较小，在"可塑性"方面来说还比较大，CEO 自身对于企业的可操控性还比较大，所以，本论文选择以中国创业板上市公司为研究对象，着重于对中国创业板上市公司中 CEO 为女性的公司为研究对象进行研究，研究女性 CEO 权力对风险偏好的影响，分析女性 CEO 权力在公司日常决策中，对风险偏好的影响。对于投资者来说，不同风险偏好的投资者可以参考该公司 CEO 性别来判断该公司企业的风险偏好或风险大小，从而选择性投资，以实现高收益与风险规避的目的。然后在之后的企业管理中，根据企业性质的不同，应该定向培养不同风险偏好的 CEO，从而让企业稳定持久的发展。

2. 文献综述

2.1 CEO 权力

　　根据 Finkelstein（1992）提出的权力模型框架，刘肖和余萍等（2019）以组织权力（该 CEO 是否兼任董事长）、所有权权力（CEO 是否持有公司股份）、专家权力（CEO 是否有高职称和 CEO 是否具有高学历）和声望权力（CEO 任职年限与 CEO 是否在其它单位兼职）4 个维度来定义 CEO 权力。王楠和黄静等（2019）将结构性权利、所有权权力、专家权力和声望权力四个变量求出平均值来确定 CEO 权力。龚浩和甄德云（2018）认为，以 CEO 是否 CEO 和董事长是否由同一人二职兼任，来评定 CEO 权力。

2.2 女性 CEO 风险偏好

　　龚光明和曾照存（2013）依据中国内外的相关研究和汤颖梅（2011）等的研究，认为 CEO 对于风险偏好的影响只与 CEO 的教育学历背景和任期长短有关，CEO 的风险偏好会根据相关财务决策而反映出来，所以，公司风险资产（交易性金融资产、可供出售金融资产、投资性房地产）占总资产的比重作为 CEO 风险偏好的衡量指标，研究结论认为，CEO 为风险偏好型，那在决策管理过程中会更倾向于风险投资，也容易出现过度投资的现象。Lee and James (2007)认为女性 CEO 会加大企业的风险，因为由于女性 CEO 的能力不被外界所认可，或者所接受，所以女性 CEO 会比男性 CEO 更为表现为风险偏好。Faccio 等（2011）发现女性 CEO 经营的公司资产

负债率和盈余波动性更低，说明在其中，女性 CEO 的表现为风险规避。刘建伟和郑瞳（2012）认为，女性为高管的公司，在财务决策中表现得更谨慎，为风险规避型。

2.3 CEO 权力与风险偏好的相关研究现状

现阶段对于个人风险偏好的研究，普遍的结论是年龄、性别、教育程度、个人经历等因素于风险偏好有高度相关性，所以，不同 CEO 的投资偏好也有所差异，而 CEO 个人特征对组织及公司的整体决策有着重大影响。在年龄方面，随着 CEO 年龄及工龄的增长，对企业管理决策的风险规避系数越来越大。对于年轻的 CEO 来说，比较倾向于对高风险项目进行投资尝试，导致会有高收入高回报；相对于年长的 CEO，由于经历经验及年龄的增长，会在投资中主动选择对高风险项目进行回避。在性别方面，现有研究普遍认为女性 CEO 比男性 CEO 对风险表现得更为厌恶。李小荣和刘行（2012）发现女性 CEO 能显著降低股价崩盘的风险，稳定资本市场，CEO 的权力越大，女性 CEO 能降低股价崩盘风险的作用表现得更为显著。马莉莉和李泉（2011）认为，不同群体的投资偏好有所不同，投资人的个人特征不同，决定了有投资偏好异质性的问题，投资人的个人财富水平、受教育程度、身体健康状态、收入水平、婚姻状态和是否有小孩都影响着投资人的风险偏好。王素莲和阮复宽（2015）认为，企业家个人的风险偏好决定着企业及个人的行为，由此决定着公司的发展特点及方向，起着重大的决定性作用。因此，在选择企业高管时，应根据企业所属行业的特点而选择不同的风险偏好管理者。李小瑛和黄昊（2018）认为，CEO 的性别与企业的风险呈显著正相关关系，女性 CEO 有助于降低企业风险水平。王鹏和毛霁箴（2018）认为，CEO 的年龄与风险偏好呈负相关关系，说明如果 CEO 的年龄越大，越有可能对风险进行规避，如果该 CEO 在之前有 CFO 的经历背景的话，那对风险的规避更为显著。周为（2014）认为，高管团队（董事长、CEO、CFO）的专业教育背景影响着企业高管的风险偏好，而公司风险承受水平是管理者风险偏好的体现。

2.4 研究假设

本研究以高层梯队理论和领导特质理论为理论支持，基于对 CEO 权力、女性 CEO 及女性管理者特征、创业板上市公司以及 CEO 风险偏好的相关概念的界定，结合对 CEO 权力与风险偏好的相关研究，总结分析关于女性 CEO 权力和风险偏好方向已有研究的研究现状及具体研究结论。在大量的研究中表明，女性敏锐及本身的母性的角色，让她们更容易察觉风险并且发现机会，帮助企业降低风险，稳步发展（祝继高，叶康涛等，2012；周颖和李远勤，2018；万相昱、唐亮和颜雅琴，2016），女性的这些与生俱来的个人特征，在整个治理过程中，是会在不同程度上影响公司决策和风险偏好的，女性 CEO 年龄与企业风险承担水平呈显著负相关关系，女性 CEO 年龄越大，企业风险承担水平越低（何飞露，2017）；女性与男性在性别上的差异，导致了女性更倾向于风险规避（祝继高和叶康涛等，2012）。女性 CEO 与一般的女性高管不同的是，CEO 是需要对公司的大小事宜作出决策并且为此负责，是最有独立决策权的，这造就了女性 CEO 的风险水平明显比一般女性高管风险承担水平高（周颖和李远勤，2018）。所以，女性 CEO 权力的大小是决定风险偏好程度的影响因素。

行为决策理论指出，CEO 权力越集中，公司风险承担水平越高。CEO 的权力越大，那受到的控制力就越少，决策力也就越强。高权力的 CEO 有能力影响董事会的决策和态度，甚至有可

能影响到董事会决策的质量。所以，做出 H1a 假设。

H1a：在创业板上市公司中，女性 CEO 组织权力与风险偏好有呈正相关关系；

管理层权力理论认为，拥有公司股份的 CEO，既是股东又是管理者，双重身份的存在使其影响力更大。CEO 持股比例越高，越有能力掌控公司的不满定性，并决定公司的重大战略和成长方向。Adams 等（2005）认为，只有在领导者在公司内部具有较高的话语权的时候，对重要活动或决策有足够影响力的时候，才能影响公司的决策结果。因此，只有在 CEO 权力足够大时，该名 CEO 的个体特征才能在公司决策中体现出影响力。反过来说，如果该 CEO 在企业中的权力不够大，话语权相对来说比较小时，那 CEO 对公司所做决策的影响力或者说控制力就比较小。依据上述分析，做出 H1b 的假设。

H1b：在创业板上市公司中，女性 CEO 所有权权力与风险偏好呈负相关关系；

高阶理论认为，高管的个人特征会影响其对事物或事件的决策或者态度。而个人的学历背景和高职称背景也是影响其风险偏好的因素之一。上市企业在对 CEO 的聘用上，也会考虑其是否具有高学历。领导特质理论认为，领导的品质和特性是在后期实践中形成的，是可以定向教育培养的，CEO 的高职称和学历背景在一定程度上可以说明其在该专业领域的专业地位及其专业的掌控度，而研究发现拥有良好的专业背景或者是较高的教育水平背景通常会拥有较高的风险偏好（Cen and Doukas, 2012）。周为（2014）认为，高管团队（董事长、CEO、CFO）的专业教育背景影响着企业高管的风险偏好，而公司风险承受水平是管理者风险偏好的体现。王鹏和毛雾篪（2018）研究发现，CEO 的年龄与风险偏好呈负相关关系，说明如果 CEO 的年龄越大，越有可能对风险进行规避，如果该 CEO 在之前有 CFO 的经历背景的话，那对风险的规避更为显著。所以根据以上分析，分别作出以下两个假设 H1c 和 H1d。

H1c：在创业板上市公司中，女性 CEO 专家权力与风险偏好呈负相关关系；

H1d：在创业板上市公司中，女性 CEO 声望权力与风险偏好呈负相关关系。

3. 研究设计

3.1 样本选取与数据来源

本研究选取了 2010 年-2018 年沪深两市的创业板上市公司中 CEO 为女性的公司作为论文研究的初始样本，在此基础上按照以下标准进一步剔除和选取：首先删除了样本观测期间被 ST 及*ST 或 PT 状态的公司；其次删除了样本数据严重缺失的公司；第三，为避免 B 股、H 股和 N 股之间的制度规则差异，剔除发型 B 股、H 股和 N 股的企业，保留只发行 A 股的企业。第四删除了极少部分资产负债率大于 1 的公司。经过筛选和删除后，最后取得总共 135 个样本观测值。论文中所有企业的数据均来自国泰安 CSMAR 数据库。

3.2 变量的选取

（1）女性 CEO 权力：根据 Finkelstein（1992）提出的权力模型框架和女性 CEO 管理者特征，结合中国的实际情况,参考之前研究的研究方法将 CEO 权力分为了组织权力、所有权权力、专家权力和声望权力。其中，组织权力由董事会规模来测评（汤梦琳，2014；夏敬慧，2011；David Yermack，1996）；所有权权力由 CEO 的持股比例来测评（刘肖和余萍，2019）；专家权力

由是否具有高职称来测评（周东华，2014）；声望权力由是否具有高学历来测评（汤梦琳，2014；夏敬慧，2011）。

（2）风险偏好：借鉴中外已有的研究文献，将公司风险资产占总资产的比重作为 CEO 风险偏好的衡量指标，风险资产包括交易性金融资产、可供出售金融资产和投资性房地产（walls，1996; Chen,2012;龚光明，2013）。根据数据处理需要，将交易性金融资产、可供出售的金融资产以及投资性房地产占总资产的比重相对于样本平均值水平来衡量该企业 CEO 的风险偏好。

（3）控制变量：已有的实证研究显示 CEO 年龄、资产负债率、总资产等因素对企业风险偏好产生明显影响，然而这些变量并非本研究的重点。因此本研究选出这些变量作为控制变量。

<div align="center">表一 变量一览表</div>

变量类型	变量名称	变量符号	变量定义
解释变量	风险偏好	RP	公司风险资产（交易性金融资产、可供出售金融资产、投资性房地产）占总资产的比重
被解释变量	组织权力	BOD Size	董事会规模的大小（董事会人数）
	所有权权力	CEO share	CEO 持股比例
	专家权力	Rank	是否具有高职称（有记为"1"，反之记为"2"）
	声望权力	Edu	是否具有高学历（学历硕士及硕士以上为高学历记为"1"，反之记为"2"）
控制变量	CEO 年龄	AGE	CEO 的实际年龄
	资产负债率	Dar	该公司的负债总额/资产总额
	总资产	TA	该公司各项目资产总计

3.3 固定效应模型

本论文采用固定效应模型，Hausman 检验的 P 值为 0.000，小于 0.01，故拒绝原假设，表明不可观测的个体因素与解释变量相关，说明应该采用固定效应模型，固定效应模型有效。本论文的计量模型如下：

模型 1: $RP=\beta_0 + \beta_1 BODSize + \beta_{2-3} Control + \varepsilon_1$

模型 2: $RP=\beta_0 + \beta_2 CEOshare + \beta_{2-3} Control + \varepsilon_2$

模型 3: $RP=\beta_0 + \beta_3 Rank + \beta_{2-3} Control + \varepsilon_3$

模型 4: $RP=\beta_0 + \beta_4 Edu + \beta_{2-3} Control + \varepsilon_4$

4. 研究结果

4.1 描述性统计分析

表二 描述统计量

	N	极小值	极大值	均值	标准差
风险偏好	135	0	0.4011139000	.02	.040
董事会人数	135	4	12	7.64	1.559
CEO 持股比例	135	1	50	18.34	14.533
专家权力	135	1	2	1.58	.337
教育	135	2	5	3.29	.834
年龄	135	32	70	48.42	7.207
资产负债率	135	0	1	.24	.174
总资产	135	186599298	43140024236	2471059010.75	4297874458.748

　　表二是对自变量、因变量及控制变量的描述性统计分析，从上表数据可见，女性 CEO 的创业板上市公司董事会人数均值为 7.64，极小值为 4，极大值为 12，标准差为 1.599，差异较小；风险偏好指标的极小值为 0，极大值为 0.401，均值为 0.02，标准差为 0.04，表明创业板上市公司中女性 CEO 风险偏好有着较大的差异，对风险资产有着不同的态度；CEO 持股比例最小值为 1%，最大值为 50%，均值为 18.34%，标准差为 14.533，这与不同企业的经营管理策略有关。在教育水平上，CEO 教育水平均值为 3.29，标准差为 0.834，表明女性 CEO 的整体学历水平较高，有着较高水平的专家权力；从年龄上看，创业板上市公司女性 CEO 的年龄均值在 48.42，标准差为 7.8，该年龄段的女性有着丰富的管理经验与工作经验；从资产负债率上看，最小值为 0，最大值为 1，均值为 0.24，标准差为 0.174，这与女性 CEO 的创业板上市公司所处行业不同有关，不同的行业有着不同的资产负债率水平，整体资产负债率水平不高，处于合理区间；同样，样本数据的企业总资产规模也呈现出较大的差异。

4.2 相关分析

　　以董事会人数、CEO 持股比例、专家权力、CEO 学历为自变量，以风险资产占总资产比例为因变量，并选取 CEO 年龄、资产负债率、总资产为控制变量，将 2010 年-2018 年间的创业板上市公司数据进行相关性检验，结果如表三所示：

表三 相关性分析表

		风险偏好	董事会人数	CEO持股比例	专家权力	教育	年龄	资产负债率	总资产
风险偏好	Pearson 相关性	1	.044	.173*	-.055	.011	.028	.014	-.059
	显著性（双侧）		.456	.026	.333	.851	.623	.815	.313
董事会人数	Pearson 相关性	.044	1	.042	-.122*	.087	-.216**	.028	.008
	显著性（双侧）	.456		.595	.037	.146	.000	.656	.892
CEO持股比例	Pearson 相关性	.173*	.042	1	.298**	-.214**	.037	.157	.110
	显著性（双侧）	.026	.595		.000	.007	.637	.062	.165
专家权力	Pearson 相关性	-.055	-.122*	.298**	1	-.436**	-.039	.023	.120*
	显著性（双侧）	.333	.037	.000		.000	.496	.710	.040
教育	Pearson 相关性	.011	.087	-.214**	-.636**	1	.028	-.006	-.104
	显著性（双侧）	.851	.146	.007	.000		.630	.925	.083
年龄	Pearson 相关性	.028	-.216**	.037	-.039	.028	1	-.038	.066
	显著性（双侧）	.623	.000	.637	.496	.630		.537	.259
资产负债率	Pearson 相关性	.014	.028	.157	.023	-.006	-.038	1	.240**
	显著性（双侧）	.815	.656	.062	.710	.925	.537		.000
总资产	Pearson 相关性	-.059	.008	.110	.120*	-.104	.066	.240**	1
	显著性（双侧）	.313	.892	.165	.040	.083	.259	.000	

*. 在 0.05 水平（双侧）上显著相关。

**. 在 .01 水平（双侧）上显著相关。

从相关性分析结果来看，女性 CEO 权力的四个维度的单变量与风险偏好之间仅有 CEO 持股比例这一变量在 95%置信区间上呈现出显著性差异，而风险偏好与董事会人数、专家权力、CEO 教育水平上并没有表现出单变量间的显著相关性，表明董事会人数、专家权力、CEO 教育水平这些单变量并不能直接对女性 CEO 的风险偏好产生影响。需要加入控制变量后进一步进行验证。

除此之外，年龄维度与资产负债率水平与 CEO 风险偏好之间为正相关关系，但是没有呈现出显著性差异。同时，上表所示自变量之间的相关系数绝对值均在 0.5 以下，表明不存在多重共线性问题，可以适用于线性模型进行回归分析。

4.3 回归分析

4.3.1 女性 CEO 组织权力对风险偏好的回归分析

表四 组织权力对风险偏好的回归结果

		被解释变量（风险偏好）
解释变量	组织权力	.0084442** （.0028444）
控制变量	CEO 年龄	-.00101 （.0008126）
	资产负债率	.0193453 （.0178237）
	总资产	-3.38e-12** (1.10e-12)
	Constant	.0093231 （.0436549）
常数项	Observations	257
	R-squared	0.2639

　　上表考察了女性 CEO 组织权力对风险偏好的影响，本文以董事会规模作为女性 CEO 权力中的组织权力维度指标进行了检验。如上表所示，得到系数为.0084442，P 值为 0.003，在 99%的置信区间上呈现出显著性差异，其系数为正值，表明女性 CEO 组织权力越大，其风险偏好则越高。女性 CEO 的组织权力越高，则其能够进行风险战略实施的权力也就越大，有着较高的权力自由度。方差膨胀系数为 1.05-1.07 之间，远低于 10，表明变量之间不存在严重的多元共线性问题。模型的 F 值为 4.58，P=0.000＜0.01，表明模型成立，能够较好的反映出女性 CEO 组织权力对风险偏好的积极影响，假设 1 成立。

　　结合相关性检验的表格可知，董事会人数并不能直接影响组织权力，而控制变量 CEO 年龄、资产负债率及总资产等指标的加入使得二者间产生了显著性差异。

4.3.2 女性 ceo 所有权力对风险偏好的回归分析

表五 所有权力对风险偏好的回归结果

		被解释变量（风险偏好）
解释变量	所有权力	-.0002058 （.0006989）
控制变量	CEO 年龄	-.0018314 （.0015805）
	资产负债率	-.0158098 （.0294107）
	总资产	2.83e-12 （4.25e-12）
	Constant	.1186444 （.0791879）
常数项	Observations	140
	R-squared	0.1438

上表考察了女性 CEO 所有权力对风险偏好的影响，本文以持股比例作为女性 ceo 权力中的所有权力维度指标进行了检验。如上表所示，得到系数为-.0002058，P 值为 0.769，没有通过显著性检验，其系数为负值。女性 CEO 持有公司股份越多，即风险偏好越低，在持有较多公司股份的情况下，不愿意进行更多的风险性扩张，更倾向于稳定的收入。方差膨胀系数为 1.05-1.07 之间，远低于 10，表明变量之间不存在严重的多元共线性问题。假设 2 不成立，女性 CEO 的所有权力对风险偏好没有直接影响。结合相关性检验的表格可知，尽管 CEO 持股比例在单变量的相关性检验中有着较高的可信度，但是在加入时间截面后却呈现出了不显著。

4.3.3 女性 ceo 专家权力对风险偏好的回归分析

表六 专家权力对风险偏好的回归结果

		被解释变量（风险偏好）	
解释变量	专家权力	-.0224597**	（.0108053）
控制变量	资产负债率	.0253408	（.0175804）
	总资产	-3.68e-12	（1.10e-12）
	CEO 年龄	.0003373	（.0002783）
	Constant	-.0177161	（.0358308）
常数项	Observations	257	
	R-squared	0.2816	

上表考察了女性 CEO 专家权力对风险偏好的影响，如上表所示，得到系数为-.0224597，P 值为 0.039，在 95%的置信区间中呈现出显著性差异。方差膨胀系数为 1.00-1.11 之间，远低于 10，表明变量之间不存在严重的多元共线性问题。模型的 F 值为 8.77，P＜0.01，模型成立，假设 3 成立。

专家权力的系数为负值，表明专家权力越高，其风险偏好越低。女性 CEO 较高的专家权力表明其在本行业领域中有着更多丰富的经验，对于当前已有的专业知识掌握情况较好，从而更倾向于选择已有知识来管理公司，减少企业经营中的风险因素。结合相关性检验结果可知，专家权力与女性 CEO 风险偏好的单因素检验中并的表现并不显著，但是在固定效应模型中加入控制变量后便出现了显著性差异。

4.3.4 女性 CEO 声望权力对风险偏好的回归分析

表七 声望对风险偏好的回归结果

			被解释变量（风险偏好）	
解释变量	声望权力		.0030923	（.0061212）
控制变量	CEO 年龄		-.0007561	（.0010214）
	资产负债率		.035695	（.0183055）
	总资产		-3.35e-12	（1.09e-12）
		Constant	.0503889	（.0611286）
	常数项	Observations	245	
		R-squared	0.2642	

上表考察了女性 CEO 声望权力对风险偏好的影响，如上表所示，得到系数为.0030923，P值为 0.614 ，没有通过显著性检验。方差膨胀系数为 1.00-1.11 之间，远低于 10，表明变量之间不存在严重的多元共线性问题。声望权力的系数为正值，表明声望权力越高，其风险偏好越高。女性 CEO 较高的学历水平及声望能够支持其在企业中的决策，为其提供其它股东的支持，并且为自身风险决策提供知识及理论上的支持。但是该维度并没有通过显著性检验，表明声望权力并不能对风险决策产生直接影响。假设 4 不成立。

5. 总结与讨论

本文主要讨论了以中国创业板上市公司为背景的女性 CEO 权力对风险偏好的影响。根据以上对数据的整理分析，得出以下结论：在中国创业板上市公司中，女性 CEO 的组织权力与风险偏好呈正相关关系。董事会规模越大，女性 CEO 的组织权力越大，对公司的影响越大，则其能够进行风险战略实施的权力也就越大，有着较高的权力自由度，那风险偏好越高；女性 CEO 的专家权力越高，其风险偏好越低。女性 CEO 较高的专家权力表明其在本行业领域中有着更多丰富的经验，对于当前已有的专业知识掌握情况较好，从而更倾向于选择已有知识来管理公司，减少企业经营中的风险因素，让企业良好发展。而女性 CEO 的所有权权力和声望权力对风险偏好没有直接影响，表明女性 CEO 的所有权权力和声望权力并不能对风险偏好产生直接影响。所以，在中国创业板上市公司中，女性 CEO 董事会的规模与职称影响着风险偏好，根据企业性质的不同，应该选择不同的特质的 CEO，从而让企业稳定持久的发展。

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Usage of LINE Application towards Satisfaction of Student Teachers' Working Performances, Academic Year 2018-2019

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Abstract

Wat Phrasrimahadhat Secondary Demonstration School, Phranakhon Rajabhat University (P.M.) is an autonomous institution directly under the central administration of Phranakhon Rajabhat University. The cooperation between P.M. and the College of Teacher Education Phranakhon Rajabhat University is to promote student teachers' teaching experiences in "Professional Practicum I, II and School Internship I, II". This study aimed to explore working satisfaction and to analyze teaching performances of student teachers after the implementation of LINE application during the teaching practicum in Academic Year 2018 -2019. The participants were Board of Directors consisting of eight people and 24 mentor teachers. The questionnaire was particularly employed for getting the data towards student teachers' working satisfaction and performances. The results of the questionnaire were interpreted, categorized and tabulated on computer sheets and were calculated into the statistical values in Mean Range and Standard Deviation. The results reveled that 1) according to Board of Directors, the average number of student teachers' working satisfaction is very satisfied, 2) the average number of student teachers' working performances in "Teaching" is very satisfied and 3) the average number of student teachers' working performances in "Behavior" is very satisfied.

Keywords: Line application, Student teachers' working performances, Teaching, Behavior

1. Introduction

Phranakhon Rajabhat University was Thailand's first teacher training school founded in 1892, with the primary goal of producing teachers for primary schools and secondary school. **Wat Phrasrimahadhat Secondary Demonstration School, Phranakhon Rajabhat University (P.M.)** which is an autonomous institution directly under the central administration of the university founded in 1953 with the primary goal of being as a laboratory for "student teachers".

The cooperation between P.M. and the College of Teacher Education Phranakhon Rajabhat University is to promote student teachers' teaching experiences when participating in "Professional Practicum I, II and School Internship I, II" in order to fulfill their graduation

requirements for one academic year. To facilitate the student teachers during their "Professional Practicum I, II and School Internship I, II" at P.M., school aims to support their working performances by assigning the head of the Professional Experiences Training Division to look after all student teachers.

At the beginning of each academic year, the head of the Professional Experiences Training Division of P.M. provides the orientation for student teachers in various aspects as follows:

1. Teaching

- Always prepare your lessons by counseling your mentor teachers (If student teachers cannot answer students' questions in classes, prepare harder for the next meeting.).
- Be on time for your classes and make use of time during teaching.
- Your supervisors will be in the classroom every period according to the school policy. If not, you are not allowed to start the lesson.
- Check and grade students' assignments carefully based on their name and student number (Be aware about some missing points in each assignment).
- Write your own teaching plans by developing from various materials such as teaching CD, internet, teaching manual, etc.
- Everyone is not allowed to give a private class when students desire to study further in order to avoid the scandal. Everyone is supposed to concentrate on class teaching.
- Inform the details of your research topic, project, learning activities, etc. before preceding your work.
- Students vary in their characteristics, knowledge background, behavior, etc. so you are supposed to accept the diversity in the classroom.
- How to punish your students should be based on sensible matter.

2. Behavior

- Inform school, mentor teachers, and head of the Professional Experiences Training Division when taking a leave.
- Sign in and out regularly.
- Join the everyday school assembly.
- Be in a healthy relationship between your mentor teachers and students.
- Be humble to seniors and be gentle to students.
- Dress properly.
- Be careful to access all multimedia.

3. Cooperation

- Work under school orders such as school proctor, field trip, sports competition, etc.

- Participate in all school activities such as academic activities or cultural activities.

- Extra-work is sometimes provided in case of necessity.

4. Facility

- Everyone stays in the same office of your mentor teachers.

- School provides all stationeries. If you need more, please contact your mentor teachers or head of the Professional Experiences Training Division.

Since LINE application has become so well-known over the past few years because it is easy to access and provides more various innovative functions. To prepare student teachers for work, the communicative way is considered to be the main source for the student teachers. The head of the Professional Experiences Training Division set up the LINE group to support the working performances of student teachers and to promote the communicative way during working duration in several purposes as follows:

1. Remind the school activities a day or a week before.

2. Answer some questions when some confusion must be sorted out.

3. Clarify how to do the work since student teachers have no experiences.

4. Follow up the assignments.

5. Solve some problems the student teachers facing.

6. Build great work relationships among colleagues.

7. Send the related educational information link or updated news.

Even though all student teachers attend the orientation at the beginning of the academic years, they feel confused when working in the real situations. Consequently, the results from the study *- Usage of LINE Application towards Satisfaction of Student Teachers' Working Performances, Academic Year 2018-2019 -* can be implications for the Professional Experiences Training Division in every school to improve its management in dealing with student teachers' working performances during their "Professional Practicum I, II and School Internship I, II".

2. Objectives of Study

1. To explore working satisfaction of student teachers after the implementation of LINE application during the teaching practicum.

2. To analyze teaching performances of student teachers after the implementation of LINE application during the teaching practicum.

3. Research Question

1. Does the LINE application promote the student teachers' working satisfaction?
2. Does the LINE application support the student teachers' teaching performances?

4. Literature Review

The quality of education is the fundamental aspect to develop the country and how to obtain the qualified teachers are based on the quality of education. The teacher's character and quality competence are the most significant factors which influence the education quality and its contribution to national development [6]. Therefore, "Professional Practicum I, II and School Internship I, II" are useful for the student teachers since they promote the student teachers to be qualified in academic area, professional skill, and teaching profession.

The College of Teacher Education Phranakhon Rajabhat Univesity and Wat Phrasrimahadhat Secondary Demonstration School, Phranakhon Rajabhat University strongly promote student teachers to earn many experiences in real situations during their "Professional Practicum I, II and School Internship I, II" because student teachers could utilize what they have learned in the classroom into the reality of teaching in school [3]. Student teachers can also develop themselves to come across teaching challenges in the classrooms in terms of knowledge, skills, and characters in order to prepare themselves to educate students effectively and professionally at schools [8], [9], and [13].

Previous studies showed that teachers, educators and supervising teachers needed to pay more attention to improving the quality of their supervision during student teachers' teaching practicum because student teachers required adequate guidance in their teaching practicum. Improving quality time working with student teachers, and commitment were critically important [4] and [11].

In order to integrate the theoretical aspects learnt at university with the practical reality of the classroom, specific strategies were needed to help student teachers gain more benefits from the practicum experience. Teacher preparation courses had to be more aligned with actual school settings and environments and there should be a systematic way for teacher educators to periodically review course content to ensure that problem areas are included in the curriculum. Consequently, student teachers know the value of teaching practice and perceive it as the important preparation for the teaching profession [11].

To overcome the problems during "Professional Practicum I, II and School Internship I, II",

some technology is needed to support the work of the Professional Experiences Training Division. Today, there are many applications and programs for instant messaging. LINE application is a product of South Korea's Naver Corporation developed in South Korea and Japan. Since its launch in June 2011, the LINE application has grown into a global service utilized in 230 countries and ranking number one in the free app category in over 60 countries [5]. Line's users are concentrated in four main markets—Japan, Thailand, Indonesia and Taiwan. Together, these four countries account for more than three quarters of the service's monthly active users [2].

LINE application has been expanding to numerous countries outside of Japan. Most of these overseas users are in Asia – specifically Indonesia, Taiwan, and Thailand, where LINE application has been extremely successful in entering the mobile messaging sphere (https://www.asiapacific.ca). Thailand is LINE application's second largest market in the world after Japan [10]. In Thailand, LINE application is the market leader comprising over 53% of the total population. With more than 41 million users in Thailand, 94% of them, or 44 million, are mobile internet users.

LINE application is importantly the most frequently used of any mobile chat applications in Thailand with over 33 million monthly active users [10]. As a result, **At Wat Phrasrimahadhat Secondary Demonstration School, Phranakhon Rajabhat University (P.M.),** the head of the Professional Experiences Training Division uses LINE application among student teachers during "Professional Practicum I, II and School Internship I, II" because LINE application supports sending text, pictures, video calls, and files and LINE application is one of applications that are used widely in Thailand.

However, while a number of literature have addressed the importance of student teachers' practicum and internship experiences as academic programs of the teacher education from other countries, studies focusing on using the LINE application among student teachers and the head of the Professional Experiences Training Division have been comparatively limited. As a result, this study focused on usage of LINE application towards satisfaction of student teachers' working performances academic year 2018-2019. The results from the study can be implications for **P.M.** and the College of Teacher Education Phranakhon Rajabhat Univesity to promote student teachers' teaching experiences during their "Professional Practicum I, II and School Internship I, II".

5. Methodology

5.1 The Participants

This study was aimed to report on research conducted at **Wat Phrasrimahadhat Secondary**

Demonstration School, Phranakhon Rajabhat University, Thailand. Focusing on student teachers' working performances, the study was carried out to gather information in order to improve the quality of student teachers' working performances during their "Professional Practicum I, II and School Internship I, II".

The participants who evaluate the student teachers of Academic Year 2018 and 2019 were categorized into two groups as follows:

Group I: The participants were Board of Directors at **Wat Phrasrimahadhat Secondary Demonstration School, Phranakhon Rajabhat University**, Thailand of the academic year 2018 and 2019 consisting of eight people – 1) School Director, 2) Vice-Director of Academic Office, 3) Vice-Director of Administrative Office, and 4) Vice-Director of Student Affairs Office.

Group II: The participants were 24 mentor teachers who individually evaluated student teachers in each major. In academic year 2018, there were 13 mentor teachers, and in the academic year 2019, there were 11 mentor teachers as shown in the table 1.

Table 1: The Number of Student Teachers in Academic Year 2018 and 2019

Academic Year 2018		Academic Year 2019	
Major	The Number of Student Teachers	Major	The Number of Student Teachers
1. Computer Education	2	1.Computer Education	2
2. English	1	2. English	2
3. Mathematics	2	3. Mathematics	2
4. Physical Education	3	4. Physical Education	2
5. Thai Dramatic Arts	1	5. Thai Dramatic Arts	1
6. Thai Language	2	6. Social Studies	1
7. General Science	2	7. Thai Music	1
Total	13	Total	11

5.2 Method of Data Collection

To collect the data of the study, the questionnaire was applied. The participants were Board of Directors accounting for eight people and 24 mentor teachers in Academic Year of 2018 and 2019. All participants gave the feedback by checking the items of the questionnaires by the end of each academic year. All participants could also suggest more details or information related to student teachers in the open-ended section provided.

5.3 Instruments of Data Collection

The questionnaire was particularly employed for getting the data towards student teachers' working satisfaction and performances. The purpose of the questionnaire of this study was to investigate the benefits of LINE application towards satisfaction of student teachers' working performances that help increase the quality of work. The questionnaire was separated into two copies:

    1) The Board of Directors consisted of 10 items, and

    2) The mentor teachers consisted of two sections namely a) Teaching consisting of 9 items and b) Behavior consisting of 8 items.

5.4 Method of Data Analysis

The results and findings were presented in tables and figures together with full explanations. The results of the questionnaire were interpreted, categorized and tabulated on computer sheets and were calculated into the statistical values as follows:

(a) The data concerning usage of LINE application towards the satisfaction of student teachers' working performances of Board of Directors and the mentor teachers were presented in *Mean Range and Standard Deviation*.

(b) *A five-point Likert scale* was used to score the levels of the satisfaction of student teachers' working performances. It is a scale used in questionnaire to specify the level of agreement or disagreement [7]:

Scale	Working Performances	Mean Range
5	Very Satisfied	4.50 - 5.00
4	Satisfied	3.50 - 4.49
3	Neutral	2.50 - 3.49
2	Dissatisfied	1.50 - 2.49
1	Very Dissatisfied	1.00 – 1.49

(c) *Mean ($\bar{x}$)* was used to interpret the average level of usage of LINE application towards the satisfaction of student teachers' working performances [1]. The higher mean score ($\bar{x}$) of each activity indicates higher satisfaction. On the other hand, the lower mean score ($\bar{x}$) indicates less satisfaction.

6. Data Presentation and Discussion

6.1 The data in academic year 2018 - 2019 of the Board of Directors - 1) School Director, 2) Vice-Director of Academic Office, 3) Vice-Director of Administrative Office, and 4) Vice-Director of Student Affairs Office were presented related to student teachers' working satisfaction as follow:

Table1 Mean and Standard Deviation towards Working Satisfaction (N=8)

Criteria	Mean	S.D.	Level of Satisfaction
1. Dress properly	5.00	0.00	Very Satisfied
2. Obtain good manners	4.75	0.50	Very Satisfied
3. Model good behavior	4.75	0.50	Very Satisfied
4. Be careful to accomplish the assigned tasks	4.25	0.50	Satisfied
5. Maintain good relationship with colleagues	5.00	0.00	Very Satisfied
6. Be responsible and hard working	4.50	0.57	Very Satisfied
7. Participate in all school activities	4.75	0.50	Very Satisfied
8. Treat students with respect and caring	4.50	0.57	Very Satisfied
9. Plan and prepare the lessons daily, and reflect on own teaching to improve it	4.25	0.50	Satisfied
10. Obtain emotional stability	4.75	0.50	Very Satisfied
Total	4.72	0.40	Very Satisfied

The results were presented in the average number [7] as follows:

Since LINE application has grown into a global service and ranked number one in the free app category in over 60 countries [5], the head of the Professional Experiences Training Division of Wat Phrasrimahadhat Secondary Demonstration School, Phranakhon Rajabhat University applied this application in cooperating with student teachers throughout the Academic Year 2018 – 2019. The average number of student teachers' working satisfaction is very satisfied (4.72). Most of student teachers' working performances are very satisfied – 1) Dress properly and Maintain good relationship with colleagues (5.00), 2) Obtain good manners, Model good behavior, Participate in all school activities, and Obtain emotional stability (4.75), and 3) Be responsible and hard working and Treat students with respect and caring (4.50).

On the contrary, only some working performances of the student teachers are satisfied – 1) Be careful to accomplish the assigned tasks and 2) Plan and prepare the lessons daily, and reflect on own teaching to improve it (4.25). This could be because all student teachers have no experiences related to the assigned tasks. The more years the experienced teachers work in the school, the more competence the teachers are good at work. This matter should be included in the course content for student teachers curriculum in order to ensure that student teachers could do the job in a systematic way [4] and [12]. The result from the open question stated that student teachers were capable to work with their colleagues and were responsible in working. They

showed their enthusiasm to work and learned new knowledge during their "Professional Practicum I, II and School Internship I, II".

6.2 The data in academic year 2018 - 2019 of the 24 mentor teachers were presented related to student teachers' working performances as follow:

Table2 Mean and Standard Deviation towards Working Performances (N=24)

Criteria	Mean	S.D.	Level of Satisfaction
1. Teaching			
1. Prepare lessons by counseling supervisors	4.46	0.65	Very Satisfied
2. Know the subject well and provide many concrete, real-life, practical examples	4.23	0.43	Satisfied
3. Plan and prepare the lessons daily, and reflects on own teaching to improve it	4.58	0.51	Very Satisfied
4. Promote students' morals and ethics	4.15	0.37	Satisfied
5. Foster students' independent thinking skills and learning	4.41	0.51	Satisfied
6. Arrive and end class on time	4.91	0.28	Very Satisfied
7. Always check and grade students' assignments carefully based on their name and student number (Be aware about some missing points in each assignment)	4.84	0.37	Very Satisfied
8. Treat students with respect and caring	4.76	0.43	Very Satisfied
9. Obtain emotional stability	4.69	0.48	Very Satisfied
Total	4.52	0.46	Very Satisfied
2. Behavior			
1. Be responsible and hard working	4.83	0.38	Very Satisfied
2. Work under school orders such as school proctor, field trip, sports competition, etc. through the academic year	4.84	0.37	Very Satisfied
3. Inform school, supervisor, and head of The Professional Experiences Training Division when taking a leave	4.91	0.28	Very Satisfied
4. Model good behavior	4.69	0.48	Very Satisfied
5. Dress properly	4.83	0.38	Very Satisfied
6. Sign in and out regularly	4.92	0.27	Very Satisfied
7. Obtain good manners	5.00	0.00	Very Satisfied
8. Maintain good relationship with colleagues	4.92	0.27	Very Satisfied
Total	4.83	0.33	Very Satisfied

The results were presented in the average number [7] as follows:

Thailand is LINE application's second largest market in the world after Japan [10] and there are more than 41 million users in Thailand. When the head of the Professional Experiences Training Division of Wat Phrasrimahadhat Secondary Demonstration School, Phranakhon

Rajabhat University applied this application in working, it is convenient because all student teachers have already downloaded this application and are ready to use it. As results, their working performances met the standard required.

The average number of student teachers' working performances in **"Teaching"** is very satisfied (4.52). The overall working performances in teaching of the student teachers is very satisfied – 1) Arrive and end class on time (4.91), 2) Always check and grade students' assignments carefully based on their name and student number (Be aware about some missing points in each assignment) (4.84), 3. Treat students with respect and caring (4.76), 4. Obtain emotional stability (4.69), 5. Plan and prepare the lessons daily, and reflects on own teaching to improve it (4.58), and 6. Prepare lessons by counseling supervisors (4.46).

In contrast, only some working performances in teaching of the student teachers is satisfied – 1) Foster students' independent thinking skills and learning (4.41), 2) Know the subject well and provide many concrete,   real-life, practical examples (4.23), and 3) Promote students' morals and ethics (4.15).

The average number of student teachers' working performances in **"Behavior"** is very satisfied (4.83). The overall working performances in behavior of the student teachers is very satisfied in all items – 1) Obtain good manners (5.00), 2) Maintain good relationship with colleagues and Sign in and out regularly (4.92), 3) Inform school, supervisor, and head of the Professional Experiences Training Division when taking a leave (4.91), 4) Work under school orders such as school proctor, field trip, sports competition, etc. through the academic year (4.84), 5) Be responsible and hard working and dress properly (4.83), and 6) Model good behavior (4.69). This could be because the head of the Professional Experiences Training Division use the LINE application to remind the school activities student teachers are required to attend a day or a week before, answer some questions when some confusion must be sorted out, clarify how to do the work, follow up the assignments, solve some problems the student teachers facing, and build great work relationships among colleagues. Moreover, the result from the open question stated that 1) Student teachers could develop themselves when they got the suggestions from their mentor teachers, 2) Student teachers were supposed to create their own teaching styles by ignoring the mentor teachers' styles, and 3) Student teachers well behaved as teachers.

In summary, the head of the Professional Experiences Training Division of Wat Phrasrimahadhat Secondary Demonstration School, Phranakhon Rajabhat University applied the LINE application to communicate with the student teachers during their "Professional Practicum I, II and School Internship I, II". This study successfully showed that the results from using LINE application increased student teachers' working satisfaction and performances

throughout the Academic Year 2018 – 2019 and the results of this study are consistent with findings in previous researches. For example, teachers, educators and supervising teachers needed to pay more attention to improving the quality of their supervision during student teachers' teaching practicum because student teachers required adequate guidance in their teaching practicum [4] and [12].

7. Implications of the Findings

Based on the findings, the College of Teacher Education Phranakhon Rajabhat University and the head of the Professional Experiences Training Division of Wat Phrasrimahadhat Secondary Demonstration School, Phranakhon Rajabhat University should be organized in accordance with the actual curriculum of student teachers. The conduct of this study suggests the College of Teacher Education Phranakhon Rajabhat University how necessary information should be applied as follows:

1. The College of Teacher Education, Phranakhon Rajabhat Univesity should set up the courses that are more aligned with school settings and environments. The courses should also be reviewed systematically to make certain that problem areas student teachers might confront with are included in the curriculum.

2. To be competent in working assigned tasks, the head of the Professional Experiences Training Division of Wat Phrasrimahadhat Secondary Demonstration School, Phranakhon Rajabhat University is required to coach all student teachers to get familiar with tasks they will deal with.

3. All heads of the Professional Experiences Training Division are suggested to apply LINE application to communicate with student teachers in order to maintain their working satisfaction or performances.

8. Conclusion

To improve student teachers' working satisfaction and performances during their "Professional Practicum I, II and School Internship I, II" was critically important. Specific strategies and new technology were needed to help student teachers gain more benefits from the practicum experience. LINE application was one of popular features which were well-known among Thais because of its effectiveness. LINE application is also successful in attracting more people and is easy to access. In addition, the effectiveness of the teaching practice curriculum is highly linked to its quality components when the College of Teacher Education Phranakhon Rajabhat University follows up the program, building strong partnership with the school and provision of effective supervisors. Consequently, student teachers know the value of teaching practice and perceive it as the important preparation for the teaching profession [11].

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Effect of Blended Learning Model on the Autonomy of University Students

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Abstract

Changes in learning formats transform students' learning behaviour and processes. However, the integration of technology in learning is insufficient to meet the needs of students. Blended learning has been applied in institutions, combining face-to-face classroom lectures and online education. This study aims to investigate the design and implementation of blended learning to university students. The students' autonomy will be examined in the students' learning process. Students' autonomy will be examined as one of the research findings after the implementation of blended learning. Mixed-method research design will be used for data collection which consists of action research and questionnaire. The paper concludes by highlighting the potential challenges of applying blended learning model.

Keywords: Blended learning, Autonomy, University students

1. Introduction

The use of blended learning has rapidly increased in higher education with the development of online education. Blended learning is increasingly adopted with the development of massive open online courses and flipped classrooms [1]. The transformation of learning formats affects students and lecturers. Students enjoy flexibility and convenience, yet a high dropout rate also occurs. According to Lee, Pate and Cozart [2], online education has a higher dropout compared with face-to-face classrooms. The autonomy of students is essential in the online age, and lecturers should consider the course design and technology implementation due to changes in students' learning behaviour. Autonomy is considered a core ability to influence students' learning behaviour and helps students become lifelong learners. Educators should develop learners' self-awareness and not merely transmit cognitive knowledge [3]. Lecturers should consider how to develop students' autonomy beyond the learning outcome to build up their lifelong learning ability. Suitable course design and technology implementation are needed due to changes in students' learning processes. Students born after 1984 are called digital natives, and they prefer online content creation and personalised learning [4][5][6]. Blended learning combines face-to-face classroom and online education, thereby effectively fitting students'

learning processes [7]. Students can gain social interaction in face-to-face classrooms and obtain a personalized learning environment via online education.

This study will contribute to the application of built-up autonomy through blended learning. Mixed-method that combines action research and quantification will be applied in this study. Action research will be implemented on the management curriculum of a university. The purpose of this mixed-method study is to investigate the effect of using a blended learning model on the autonomy of university students. The following objectives are addressed: 1) To design a blended learning model for a management course. 2) To examine the effect of autonomy in blended learning model.

2. Literature review

The current generation of university students grew up in an environment with digital technologies and mobile devices, which changed their thinking and learning processes. According to Prensky [6], students who were born after 1984 are called digital natives. Digital natives can use technology to receive multiple types of information and use relevant language [6][8]. They are active learners who prefer receiving information effectively, arrange multiple tasks concurrently and engage in online creation [5]. Kirschner and De Bruyckere [8] defined digital natives as people with a deep knowledge of technology. However, some studies argued that although digital natives were born in a technological environment, they cannot necessarily use technology for learning. According to Ng [5], many digital natives lack the skill to learn university curriculum by using technology. Using technology in education is different from using social media such as Facebook, which requires particular skills. Gaps between digital natives and e-learning skills need to be considered [9]. Margaryan, Littlejohn and Vojt [10] mentioned that support and training of learning through technology are needed because many digital natives still have limited e-learning skills, such as basic Office suite skills. Furthermore, the learning styles of university students are geared towards personalised learning. University students perform better when the subject content is personalised [11]. Personalised content or feedback increases students' interest effectively and ensures high response to learning activities [12]. Consequently, the learning approach for university students needs to not only apply digital technology to fit their learning format but also provide support for learning skills. Moreover, a personalised environment can enhance the interaction between students and lecturers.

Autonomy is a concept of self-management that drives students to be responsible for their personal learning [13]. Autonomous students 1) show passion for learning; 2) engage with topics and research it consistently through self-management; and 3) express their own ideas confidently [3]. This ability is essential to becoming a successful learner. Students' autonomy influences their academic work. Lack of autonomy was recently identified as a factor that

influences students' low participation in learning activities [13]. According to Bolsunovskaya et al. [13], autonomy typology can be divided into four levels based on self- concept components (cognitive, conative and affective). Firstly, with high autonomy, students have a well-developed self-concept and are aware of their desires. High-autonomy students are motivated to learn activities and have self-control. Secondly, with middle autonomy, students have a positive attitude towards professional self-concept and a low identity of personal intentions. This type of student follows the course process, defines objectives based on lectures and prefers teamwork to individual work. Third, with low autonomy, students have a negative self-concept and are not aware of their desires. They lack motivation and avoid challenges or improvement. Fourthly, with critical autonomy, students are insufficient in all self-concept components because of their unsatisfactory learning experiences or psychological barriers. Negative experiences cause students to reject learning support, further impacting their learning behaviour. Studies on autonomy remarked that autonomy involves lifelong learning that should be involved in university-level education [14][15]. The purpose of learning not only focuses on knowledge but also on building autonomy to ensure self- management. The aim of higher education is to enable students to develop the skills/attributes for lifelong learning [14]. Lecturers should help students develop autonomy to become lifelong learners.

The face-to-face classroom is a traditional learning format in which course contents are shared in writing or orally by a lecturer [16]. The advantage of this learning format is social interaction. According to Bowers and Kumar [20], the high involvement between peer-to-peer discussion and student-to-lecturer connection affects students' performance. Face-to-face learning provides students with opportunities for collaborative activities. Students have higher academic performance and learning desires when learning in an environment with social activities [17]. The change in students' learning experience shows that the face-to-face classroom may not be suitable for students' learning processes. Learning technologies have been used to encourage students in this digital age [18]. Technologies can attract students' attention more than face-to-face classrooms can. However, some researchers argued that students' performances are influenced by the design of the content but not the learning format. No significant difference exists in students' learning outcome between face-to-face classroom and online education [19]. Subject design is the first critical component that should be examined beyond the suitable learning format.

In online education, up to 80% of the content is provided online [16]. This learning environment provides flexibility and convenience for every learner. Online education meets students' requirements of convenience, which is an essential component for the education system [20]. An increasing number of students are enrolling in online education courses [16]. The quality of online education and face-to- face classroom has no significant difference. Online education

attracts students on the basis of learning experiences, such as multimedia content, mobile interfaces and community environments [20][11]. Despite the potential of online education, issues such as high dropout rate and social distance still exist. Online education has a higher dropout rate (50%) than face-to-face classroom [2]. Students' persistence and retention are essential issues that need to be solved in online education [20]. Distance causes students to lack interaction and results in a feeling of isolation [21]. Although online education provides a flexible learning environment, the decreased lecturers' presence causes the lack of student support. Thus, face-to-face interaction also needs to be considered.

Blended learning is an integration of face-to-face classroom and multimedia online instruction or activities to help develop new knowledge [22]. Multimedia online education, such as through the use of a learning management system, video broadcasting and communication technology, are generally used as online learning tools [7]. The difference among face-to-face classroom (traditional), blended learning and online learning format is presented in Table 1. The implementation of blended learning has grown rapidly following changes in learning and teaching environments. Hilliard [23] noted that blended learning is a trend for higher education, increasing globally at a rate of 46% or higher per year according to an online learning survey. Students can develop their learning ability from both face-to-face classroom and online education in blended learning. The improvement of blended learning increases engagement through social interaction, with students interacting with classmates or lectures in face-to-face courses, thus increasing their sociability. Personalised learning then enables students to learn individually using online materials, thus facilitating self-directed learning [24].

Table 1: Definition of different learning formats

Proportion of Content Delivered Online	Type of Course	Typical Description
0 %	Traditional	Course where no online technology used. Content is delivered in writing or orally.
1 to 29%	Web Facilitated	Course that uses web-based technology to facilitate what is essentially a face-to-face course. May use a learning management system or web pages to post the syllabus and assignments.
30 to 79%	Blended/Hybrid	Course that blends online and face-to-face delivery. A substantial proportion of the content is delivered online, typically uses online discussions and typically has a reduced number of face-to-face meetings.
80+%	Online	A course where most or all of the content is delivered online. Typically has no face-to-face meetings.

Sources: The prototypical course classifications (Allen & Seaman, 2016)

According to Stein and Graham [24], blended courses should be avoided simply replicating face-to-face instruction in an online environment. Three risks need to be considered. The first risk is having large units of activities or work. A blended course improves the learning experience by redesigning learning processes and adding more activities and assessments. The second risk is complex technology, the technology format should be simple to use and enable students to focus on the learning objective without the design of the animation and images being the focal point. The third risk is having unsuitable modes. The activity modes should be based on learning objectives and outcomes instead of simply being based on switching between face-to- face and online modes [24]. The factors that influence the didactic structure of the blended course are 1) previous knowledge, 2) capability, 3) learning objective of students, 4) learning units, 5) associated face-to-face and online models and 6) learning assessment [25]. Studies on students' learning performance show no significant difference in learning outcomes among face-to-face, online and blended learning formats; however, blended learning influences satisfaction effectively [11][12]. Blended learning can increase students' satisfaction to the point where it can attract students' involvement in the learning processes. Moreover, content needs to be redesigned when implementing the course.

Accordingly, the research questions are shown below to address the objectives of this study.

RQ1: Whether or not a blended learning model works effectively in the management course.

RQ2: Whether implementing the blended learning model can develop the autonomy of university students.

3. Method

3.1 Participants

The experiment will be conducted at a private university in Bangkok. One hundred Chinese international students with ages ranging from 20–22 years and are in the Chinese program of international business will be participated in the research. These students will be divided into two experimental groups, with each group composed of 50 students.

3.2 Research Procedures

This study will apply a blended learning model. The course will be composed of 15 lessons, 2 lessons a week, and 1.5 hours per lesson. The ASSURE model will be applied in this study. Heinich, Molenda, Russell, and Smaldino [26] introduced the ASSURE model to the instructional system design process, which lecturers can use to modify the learning environment for students. The model has a six-step instructional system design process. The first step is to analyze the learner. Understanding students' knowledge, skill and different background is a

starting point before effective instruction can be designed. The second step is to state the objectives. Lecturers should provide clear information on the learning expectations and assessment for students to make them more involved in the course. The third step is to select methods, media, and materials. The instruction design will be considered after lecturers to see the whole picture of the course. The fourth step is to utilize methods, media, and material. This step focuses on the methods for implementing instructions in the instruction in the course. The fifth step is to require learner participation. Students' engagement and motivation and be observed in this stage. Finally, the sixth step involves evaluating and revising. Lecturers should reflect on the components when the instructions are completed and redesign the contents for the next instruction [26]. The blended learning model will be designed through these six steps into the course content.

3.3 Data Collection

The action research will collect data using observation cards. The observation card will focus on the following factors according to Weber, Waxman, Brown, and Kelly [27]: 1) interactions with peer to peer and students to lecturer, 2) instructional orientation, such as direct instruction or assessments, 3) nature of interaction, such as questioning or explaining in the course, and 4) purpose of interaction, which is connected to the course objective directly. Quantitative data will be collected via a pre-test, post-test, and students' satisfaction survey. The pre-test and post-test will be conducted through the achievement exam of the course. Both experimental groups will take the pre-test before the research intervention and the post-test after the treatment. Students' satisfaction survey will use five-point Likert scales with response categories from 1=strongly disagree to 5 = strongly agree.

3.4 Data analytical techniques

The data of observation card will apply hierarchical linear modeling (HLM) to analyze the different interactions between peer to peer and students to teachers. HLM is used when variables are more than one level, such as student and teacher-student levels [28]. Descriptive analysis will be applied to quantitative data to analyze the mean between the groups for the pre- and post-tests. A paired-sample t-test will be conducted to examine the details of the achievement exam. A one-way ANCOVA will be applied to evaluate the statistically significant differences between the experimental groups in the post-test controlling for pre-test. The satisfaction survey will be used to examine students' learning experience on blended learning model through descriptive analysis.

4. Conclusion

This study will present a blended learning model approach for university students to develop

autonomy. Although the implementation of blended learning could effectively improve students' knowledge and satisfaction [29], however, there are also developmental challenges that need to be addressed. Students' e-learning skills need to be identified before choose the components into blended learning model. The design of learning components should not only consider the relationship between content and learning materials, but also examine the required of e-learning skills [30]. The lack of e-learning skills may cause the issues of ineffectual learning interaction and performance. The understanding of the skills required to assess interfaces is essential in order to provide equal access to interfaces and meet different students' needs [30]. Therefore, students' e-learning skills and need will be examined in the next steps. Further, the blended learning model will be designed into the curriculum. The mixed-method research will conform to university policy and the research purpose will be reviewed with the director before implementation. This study will contribute to the blended learning model design and implementation learning format to develop autonomy for university students.

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Research on the Intercultural Psychological Adaptation of Chinese Preschool Children from the Perspective of Social-Emotional Competence in Thailand

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Abstract

As the process of Global Economic Integration (GEI) continues to accelerate, intercultural communication is becoming a prominent feature of times. Psychological adaptation is one of the biggest obstacles to cross-cultural adaptation, among children in a kindergarten in particular. As a child begins to establish social relations regularly outside their family, for the first time, the transition from home to kindergarten can be challenging, especially when they study abroad. Yet we know little of their psychological adaptation competence. The intercultural Social-Emotion Competence (SEC) is linked to the growth of the social competence of children. Relationship management was one of the most important factors in social competence perceptions and the acceleration of adjustment of children to Thailand's life. This research provides a different perspective on initiating social competence as children enter new social situations in a new country.

Keywords: Intercultural psychological adaption, Preschool children, Social-Emotional Competence

1. The Policy Context

Under the framework of China's "the Belt & Road" (B&R) and Asia-Pacific Connectivity Initiative, China announced to intensify all-round cultural and educational cooperation with countries along the routes of the B&R initiative. Therefore, the number of Chinese students who pursue their university degrees in B&R countries has greatly increased in recent years [1].

Association of Southeast Asian Nation (ASEAN) which countries have close ties with China become "Rookie". At the same time, Thailand has set the goal of developing into a Southeast Asia hub of education, training, and international conferences and seminars by the year 2018 [2]. Due to the contribution of these "push-pull" forces and the commonality culture between Southeast Asian culture and Chines one. More and more Chinese students who have chosen Thailand as their destination for studying abroad in recent years [3]. Although the study of intercultural adaptation is well known, attention to the SEC has come to the forefront only recently. Because of differences in the living environment, psychological quality and social

adaptability, some younger overseas students have experienced adaptive psychological problems or barriers in varying degrees. These problems led to inadequate academic performance, low learning efficiency, interrupted learning, or forced return home earlier, etc. It is therefore difficult to achieve the expected objective of studying abroad. That is, SEC is not merely an "issue" this needs to be resolved, but something that needs to be developed and promoted.

According to the Consulate General of Thailand in Kunming, about 30,000 people in China studied in Thailand in 2016 [4]. World trade promotes globalization soar has expanded the movement of families across countries [5]. More parents are concerned with their children to have overseas education experience, both to enhance students' multilingual skills and prepare them to function in their future. It is well known that Chinese formal education emphasizes testing that begins at age two and also the aim of learning focuses solely on passing examinations. Kirkpatrick and Zang [6] pointed out that the worst result of this approach can stifle a student's imagination, creativity, and self-esteem; qualities crucial for a child's ultimate success in early childhood education. Santos et al. [7] asserted that early childhood years are an important period of social competence development, while Saltalı et al. [8] found that 0-6 years, often referred to as the preschool period, is one of the stages that have significant impacts on children's perspective lives.

Based on these reasons, to avoid this status, Chinese middle-class families formed a large number of Chinese study mothers who accompanied their children to study abroad for a long time [9]. For kindergarten students, studying abroad involves more than simply taking classes, practically learning achievement may not be the primary motive for children to attend kindergarten in Thailand. They must adjust to a sociocultural system that is various from theirs. Nevertheless, Meckman [10] asserted that younger children preferred to have some anxiety about such a move, but also preferred to be enthusiastic. The researcher believes that the way of studying abroad is different from that of the country, and the pressure of autonomy and creative learning is far too much hard work. Some young students are more difficult to adapt to the new learning method and are unable to achieve better learning objectives.

2. Intercultural adaptation

Adjustment, which is derived from the Latin word ad-justare, is the process through which one needs to balance and the obstacles in one's environment. Cross-cultural adaptation is a ' dynamic process by which individuals create and maintain relatively stable, reciprocal, and functional relationships with that environment when they move to an unknown cultural environment. Berry and Kim's [11] theory of intercultural adaptation provides the conceptual framework for this paper. Kealey [12] identified intercultural effectiveness that has been defined as the ability

to use communication and cognitive competence, interpersonal competence. Previous research by Ward and Kennedy [13] suggests that adaptation can be roughly divided into two categories: psychological and sociocultural. Empirical studies have shown that sociocultural adaptation and psychological adaptation are correlated to each other [14]. Smith and Khawaja [15] noted that conversion from maladjustment to cultural adjustment acculturation, or the process in which international students adjust their world view to fit or integrate with the mainstream culture in which they find themselves. Kim [16] explored the idea of emerging in the adaptation process are three interrelated phases of adaptive change and the intercultural transformation of the individual. First is increased functional fitness in carrying out daily transactions. Followed by improved psychological health in dealing with the environment. The last one is the emergence of an intercultural identity orientation. Adaption to life in a foreign environment can perhaps best be conceptualized through the use of the term "acculturation" [17].

Black and Stephens [18] pointed out that expatriate adaptation to the host country has typically been subcategorized into work adjustment, interaction, adjustment, and cultural adjustment. To even understand what adjustment means for the expatriate children, de Sivatte et al. [19] modified these subcategories into interaction adjustment, academic adjustment, and cultural adjustment. The most important conclusion is that interaction adjustment is, by far, the most relevant aspect of adaptation for expatriate children. The most growing research on the key factor affecting international student adaptation that they experience in a different culture [20][21][19].

Moreover, the most relevant document literature accessible relating to expatriate teenager adjustment oversea has been on Third Culture Kids (TCKs). As early as 2008, Weeks et al. [22] showed us effective adjustment individuals within individual factors, environmental factors, and interpersonal relationships. Lauring et al. [23] contribute to the literature that adaptation leads to personal development, by empirically demonstrating the link between interaction adjustment and personal development. de Sivatte et al. [19] rectified the factors affect expatriate children's adjustment. In short, it can be said that children of expatriates adapt very well, and they are most interested in fitting in with other children, no matter local or other internationals. The study concluded that some relevant factors found to relate to adaptation where children's social skills, academic self-efficacy, school academic level in the host country and family support. Adams [24] noted that Western parents place a priority on their children's social interaction when arriving in a new country.

In summary, the literature affirms the multiplicity of factors – for example, academic self-efficacy, family support, personal development, cultural-historical perspective, and knowledge of host culture before arriving in a host country. There is no doubt that cross-cultural adaptation

is, rather than a unitary process, a multidimensional construct. These correlational researches happened to coincide with the different perspectives of social competence, or in other words, SEC.

3. Social-emotional competence concept development

Several researchers have shown that there is a strong link between young children's SEC and academic success in recent years. SEC is increasingly recognized as one of the most significant areas of early learning and development [25]. Social-emotional learning (SEL) was first introduced in 1994 as a conceptual framework incorporating SEL and emotional competence. Social affective ability is defined as an asset of abilities that respond flexibly and appropriately under the guidance of social, emotional, and behavioral [26]. New empirical research supported a view of the importance of SEC to school readiness [27]. SEC is developed during the preschool years regularly predict children's success in kindergarten and beyond [28]. SEC has been established as an important predictor in children's mental health, school readiness and academic success. An extensive amount of research has identified factors that influence children's social and emotional development. In the current preschooler study cited from Im et al. [29], these SEC skills are (1) Self-awareness (2) Social awareness (3) Self-management (4) Relationship management (5) Attachment (6) Communication (7) Responsible decision making (8) Prosocial skills. These key aspects of SEC necessary for success in school include children's ability to understand the feelings of others, their perceptions of themselves, and their ability to recognize emotions.

Table 1: Documents analysis of eight clusters according to SCE

P-SECI Code	Concept Focus	Description	Authors
(1)(4)(7)	Self-Esteem, Socio-Emotional Adaptation, And Relational Problem Solving	It is observed that self-esteem and socio-emotional adaptation have a significant place in children's problem-solving skills.	Saltalı et al. [8]
(2)(3)(4)	Social competence, Cultural orientations and Gender differences	Social competence is closely related to social adjustment in new settings.	Ren & Wyver [30]
(3)(4)	Proficiency with Grammatical Morphemes and Emotion Regulation	Better emotion regulation abilities may be able to elicit more complex conversations in their social environments.	Ren et al. [31]
(3)(4)	Social Competence, Languare Skills, Emotion Regulation	Emotion moderated the relationships between English skills and different aspects of social competence.	Ren et al. [32]

Table 1: Documents analysis of eight clusters according to SCE (Continued)

P-SECI Code	Concept Focus	Description	Authors
(1)(3)(4)	SEC, Preacademic skills	Kindness Curriculum effect on self-regulation, and prosocial behavior	Ren et al. [33]
(2)(3)(5)	Attachment; emotion regulation; empathy;	Social-emotional development might benefit from assessing attachment status, as well as emotional development.	Ştefan & Avram [34]
(3)(4)(6)(7)	Emotional literacy; Social problem solving; Social skills and friendships	Teachers can adopt potential strategies to support children's social and emotional competence in early childhood settings.	McLaughlin et al. [35]
(3)(4)(5)	self-regulation; prosocial behavior;	Children low on prosocial behavior are reject by their peers, are often aggressive and exhibit behaviors which put them at risk for externalizing disorders.	Flook et al. [36]

Note: (1) Self-awareness (2) Social awareness (3) Self-management (4) Relationship management (5) Attachment (6) Communication (7) Responsible decision making (8) Prosocial skills.

Im et al. [29] indicated that SEC can predict preschool children's mental health, school readiness and academic success. As well as it normally provides information that many practitioners in early childhood settings, schools and home or clinical environments may find useful as it is easy and quick to administrate. Knowledge of the child's SEC may help parents, teachers in understanding the child's behavior and also to find ways to help them through shaping and early intervention. Although the cross-cultural context is particularly fertile ground for children's development, not all children take advantage of the opportunity for their personal growth. Therefore, this research focuses on the analysis of the key factors to help the children to establish their moral capability. For parents, do early warning psychological for children and counselling and treatment for mental health to improve the sense of safety for children.

1) Self-awareness: For instance, the present study that self-perception account for reserved and aggressive problem-solving approaches. As well as self-esteem is a significant predictor of aggressiveness, aggressive-positive problem-solving and reserved problem -solving approaches [37]. Preschoolers with low self-esteem levels might ignore their problem rather than solving them or they might wait for the disappearance of the problem. Otherwise, try to give the responsibility for the problem to others and wait for them to solve it. Some people believe that preschools with higher self-esteem levels are more efficient, happy, successful and confident in their interaction with the environment. Children must establish friendships and enter into peer groups to ensure social

development. Peer groups boost children's self-confidence and decrease their shyness. If the child had adopted a positive attitude towards the social world, they might have expectations about the positive social world [8]. We can conclude that Self-awareness raising will avoid and reduce behavioral problems in children.

2）Social awareness: We cannot ignore the fact that host cultural orientation was negatively associated with behavior intrinsic and overall behavior problems and positively associated with adaptive skills. Developmental and/or contextual differences for younger children may mean that heritage cultural orientation is less likely to be associated with social competence than is the case for older children and adolescents [30].

3）Self-management: Roben et al. [38] defined emotion regulation as the process of initiating, maintaining or changing emotional reactions, which is important to children's development of social competence and mental health. Respecting the positive relevance between morpheme proficiency and emotion regulation. It seems that children with the correct use of morphemes may engage in more positive social interaction. At the same time, children with better emotion regulation abilities may be able to elicit more complex conversations in their social environment [31]. The result indicates the positive associations between morpheme proficiency and emotion regulation [8]. The researcher findings show that if children want good social relationships, they have to control their destructive ability and bad attitude.

4）Relationship management: Ren et al. [32] results indicate that positive emotion regulation, emotion dysregulation, English skills, and Mandarin skills were associated with a different perspective of social competence. The Saltalı et al. [8] study indicated that interaction with a peer is a significant predictor of only assertive and reserved-submissive problem-solving approaches. Children with the correct use of morphemes may engage in more positive social interactions [31].

5）Responsible decision making: Appropriately responding to social life correlates with aggressive, passive-aggressive and positive problem-solving approaches, and it is a significant predictor of these problem-solving approaches [8]. As well as the capacity to choose to positively make up their minds about their behavior and social behavior based on ethical and social norms and respect towards other people. This includes risk judgment and sensible decisions with personal responsibility [39] Skills to make decisions are closely related to the abilities such as the capacity to accurately evaluate the situations, positively react to these problems, identify and clarify the problems by self-reflecting strategies, problem-solving skills, and social and moral norms conforming.

6）Attachment: Previous research has provided empirical support for the fact that attachment security is positively associated with preschoolers' emotion regulatory skills [40]. Literature review of Ştefan and Avram [34] concluded that there are instances when attachment insecurity does not necessarily lead to deficient emotion regulation abilities, as in the case of children with above-average emotion regulation skills. Conversely, they suggest that children with below-average and average emotion regulation awareness benefited the most in terms of higher performance in the empathy task when attachment

security was increased. This finding inconsistent with the notion that attachment security plays a protective role.

7）Communication: Communication skills can be best evaluated in a play setting where children establish and maintain friendships [35]. The fundamentals of human communication emerge early. Before they can speak, infants understand words spoken in their native language [41]. Young children understand that communication is deeply social [42]. Taken together, these findings suggest that the building blocks for effective communication begin in infancy [43].

8）Prosocial skills: Child gender and parental education may affect the associations between SEC and pre-academic skills [36]. Prosocial skills, such as being cooperative and responsible, having self-assertion and self-control, and showing empathy, enable a child to interact effectively with others. Such prosocial skills in preschool have been linked to positive academic and social adjustment in elementary school [44]. Well-developed prosocial skills in children act as a protective factor against negative developmental outcomes [45]. Based on the research findings above, we could conclude that prosocial skills are attitudes conducive to others and encourage the integral and harmonious growth of the personality of children in community.

It is important to focus on the intercultural psychological adaptation of preschoolers from SEC perspectives. There are no significant differences in attitudes towards self-regulatory abilities as robust predictors of significant lifespan outcomes. Because early years mark a significant period of development of social competence and management of relationships [36]. At the same time attachment can be an important factor associated with social competence development. It was hypothesized that social support from family, local friends, and non-local friends would buffer the negative effects of the intercultural psychological. Simultaneously, enhance the positive effects of interaction and social skill. Wang et al. [46] found that Chinese university students who have higher self- esteem, positive problem-solving skills, and lower maladaptive perfectionism were significant predictors of better acculturative adjustment. From what has been mentioned above, we can conclude that preschoolers have self-esteem and positive problem-solving also can adjust to the new environment well.

4. Conclusion

With an increasing number of Chinese children entering Thailand kindergarten. Parents should pay close attention to the SEC development of these children as SEC is closely related to social adjustment in Thailand. To date, research on children's SEC has mainly focused on its associations with entering childcare and adjust. As they interact within different educational environments, cultures, and societies. They continue to experience improved knowledge, awareness, skills, and attitudes which enable them to establish initial function effectively within both in China and Thailand. We have predicted challenges range from language barriers, relational issues, to loneliness, and racial discrimination. However, they are all part of the cross-

cultural adaptation process that individuals experience while adjusting to the host country.

Adjustment is a multidimensional process that involves several factors. The purpose of this article is to address factors contributing to the eight factors of SEC to help preschool children adjust the new environment much easier. This research highlights how the interaction between different factors affects adjustment. The adjustment process is special, and each child may encounter related issues differently.

5. References

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A Field Study on Time Management and Academic Achievement of Chinese Undergraduate Students at a Thai University

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Abstract

Due to the rapid development of China's economy and the construction of the "Belt and Toad", more Chinese students choose to study abroad in Thailand. Time management has been deemed as a critical issue for international students since they would need to balance all matters in their life under a cross-culture or exotic context. Previous studies have certified that time management was highly correlated to students' academic achievement. Therefore, this research aimed to study time management and academic achievement of Chinese undergraduate students in a Thai university while the researchers set to exam whether these two variables were related. Questionnaires were distributed to 330 students in classes and 284 set of questionnaire have been collected. The results showed that the high, moderate and low levels of time management were distributed among students as 48.9%, 44.1%, and 7.0%. 6.3% and 26.8% students had high and relative high level of GPA, and 35.9% had moderate level of GPA. A slight positive correlation existed between time management and academic achievement as Pearson correlation coefficient was found significant at 0.174.

Keywords: Time management, Academic achievement, Chinese undergraduate students, Thai university

1. Introduction

Chinese families attach great importance to offspring's education for a long time. Higher education is regarded by Chinese families as the most consequentially substantial way to get a decent job along with having a promising future in the society. As Chinese family's economic situation improving gradually, more and more parents arrange their children to study abroad because of the plausible reasons including the difference from traditional Chinese exam-oriented education, international higher education emphasizes more on cultivating students' independence, critical thinking, innovation ability, and foreign language skills as well.

Universities in Thailand, compared to their counterparts in developed countries, have their own advantages such as lower studying and living costs, internationally recognized education quality, friendly social environment and easier student visa policy. With the construction of the "Belt and Road", more Chinese enterprises are looking for a broader market in Thailand for further development while organizations in Thailand are seeking for cooperation opportunities with

China. In this context, Thailand becomes one of the most popular countries for Chinese students to pursuit their higher education.

Effective time management skill is of its importance to universities students. For most Chinese undergraduate students at Thai universities, it is the first time for them to study abroad. Adapting themselves to the new living environment and experiencing the amazing foreign culture, students need to arrange time properly to complete their studies. During the teaching process, students often reflect the limitation on time to finish their assignments; consequently, it may lead to a negative result on their academic achievements. Thus, research on studying Chinese students' time management level and academic achievement and the potential relationship between these two variables would ideally help teachers understand more, which serves as a facilitation to students' improvement in learning results.

1.1 Time Management

Time management is a topic worth concern in modern society as there are too much stuff that can distract us from our attention and purpose. The studies on time management published since 1950s. Lakein [1] defined time management as a process that involving determining needs, setting goals to fulfill needs, and planning tasks required to achieve goals. Though Claessens et al. [2] pointed out the term "time management" is actually misleading because "time" is an inaccessible factor that cannot be managed, current research viewed "time management" as a way of monitoring and controlling time which is more likely self-management. As Claessens et al. [2] defined, time management is a series of behaviors that aim to use time effectively to fulfill a certain goal. They suggested that time management as well as behaviors which include time assessment behaviors, planning behaviors, and monitoring behaviors that aim at achieving an effective use of time while performing certain goal-directed activities. Similarly, Al-Zoubi [3] stated time management depends on planning, coordination, stimulation, directing, pursue and contact. Green and Skinner [4] indicated that time management reveals a high inconsistency between individual's estimation on time usage and outputs.

Studies on time management mainly used self-report questionnaires as the measurement instruments. The time management questionnaire (TMQ) developed by Britton and Glynn [5] was used in this study. The TMQ scale consisted of three dimensions which are short-range planning, long-range planning, and time attitudes. It includes totally 18 items regarding to time management.

The literature review on time management demonstrated that it relates to perceived control of time, job satisfaction, and health. Particularly, time management is a popular research topic in education area. As Garcia-Ros and Ibanez [6] stated that it seems logically that students' time

management ability which known as planning and rational use of time is critical to success in study.

1.2   Academic Achievement

Cyril [7] pointed out that academic achievement means knowledge attained and skills developed in the school subjects and it usually designated by test score. Academic achievement is the result of a student's performance in obtaining knowledge, skills and doing school's tasks. It is a combination of students' personal intelligent level, learning abilities, and effort paid on study.

Academic achievement is important as it related to students' further study or work, concerned by parents, and is an evaluation criterion of teaching. In the Thai university involved in this study, many undergraduate students indicated their intentions on pursing a postgraduate study, whether in Thailand or other countries such as UK or Australia. Satisfied academic achievement will be one extremely important factor during their application for further study.

In some schools, students' academic achievement are presented in form of percentage, while in most universities, students' academic performance are reflected by Grade Point Average (GPA). In this study, Chinese undergraduate students' academic achievement was measured by GPA and the highest GPA was 4.0.

1.3   Students' Time Management and Academic Achievement

The intrinsic relationship between time management and students' academic achievement aroused the attention of many researchers. Cyril [7] and Al-Zoubi [3] proved that there was a significant relationship between time management and students' academic achievement. Nasrullah and Khan [8] studied how university's students managed their time for achieving academic results. They found students with good academic performance were good at time management. Khanam et al. [9] also pointed out that university students who got higher grades in their study generally showed high scores on time management survey.

Time management is particularly important for university international students. Different from studying in their hometown with parental supervision and strict management from teachers, international students need to deal with all things in the life independently. Some international students with poor academic performance often show that they cannot arrange time reasonably. For example, some students had the plan to review before examination; however, time was taken up by social activities. Other students complained there were too many assignments but time was not enough. Time management is not only concepts that every single student should know, but also skills that students need to apply into their study. As the number of Chinese

students in Thailand universities increased dramatically, the relationship between time management and students' academic achievement should be concerned.

1.4 Research Objectives

The objectives of this research were as follows:

1.4.1 To study the levels of time management and academic achievement of Chinese undergraduate students in a Thai university.
1.4.2 To find out if there is a significant difference between male and female students on time management and on academic achievement.
1.4.3 To find out if there is a significant difference between students with and without a plan to pursuit postgraduate study on time management and on academic achievement.
1.4.4 To examine the relationship between time management and academic achievement of students.

1.5 Research Hypotheses

The hypotheses of this research were as follows:

1.5.1 There was a significant difference between male and female students on time management.
1.5.2 There was a significant difference between students with and without a plan to pursuit postgraduate study on time management.
1.5.3 There was a significant difference between male and female students on academic achievement.
1.5.4 There was a significant difference between students with and without a plan to pursuit postgraduate study on academic achievement.
1.5.5 There was a correlation relationship between Chinese undergraduate students' time management and academic achievement.

2. Research Methodology

2.1 Research Design

This research was a field study that conducted in a Thai university. Questionnaires were distributed to Chinese undergraduate students in the researcher's classes to collect information on time management and academic achievement. Quantitative approach was used to analyzed data.

2.2 Participants

All 330 participants were Chinese undergraduate students in the researcher's classes. Totally

284 students (accounted for 86.06%) returned their valid questionnaires.

2.3 Research Instrument

A questionnaire was designed for this research. It included two parts. Part I was about participant's personal information which included gender, age, academic year, GPA which is a measurement of academic achievement, and whether the participant had a plan for postgraduate study. As one of the variable in this study, students' GPA (out of 4.0) were divided into five levels. GPA<2.0 means students had poor academic performance, 2.0≤GPA<2.5 means students had a relative poor academic performance, 2.5≤GPA<3.0 means students had an average academic performance, while 3.0≤GPA<3.5 means students had a good academic performance, and GPA≥3.5 means students had an excellent academic performance.

Part II was about participant's time management. The time management questionnaire (TMQ) developed by Britton and Glynn [5] was used. It contained 18 items in three dimensions. The first dimension was Short Range Planning which includes 7 items; the second dimension was Time Attitude which includes 6 items; and the third dimension was Long Range Planning which includes 5 items. All items were valued based on 5 Likert Scale as Always (5), Frequently (4), Sometimes (3), Infrequently (2), and Never (1). The possible scores on 18 items were ranged from 18 to 90. Scores below 46 means low level of time management, scores between 47 and 58 means moderate level of time management, and score above 58 means high level of time management. A higher score means better time management behavior.

2.4 Statistics

A statistical program was used to analyze the quantitative data. The descriptive statistics of Chinese undergraduate students were analyzed by frequency and percentage. The level of students' time management and academic achievements were analyzed by frequency and percentage. The differences of time management and academic achievement between male and female students and between students with and without postgraduate plan were tested by t-test. The relationship between time management and academic achievement was examined by Pearson Correlation Coefficient.

3. Results

3.1 Descriptive Information

The descriptive information on Chinese undergraduate students' gender, age, academic year, and willingness on pursuing postgraduate study was analyzed by frequency and percentage. The results showed that among 284 respondents, male students dominated to 65.5%, while the other 34.5% were female students. Most of students, which contained 90.8%, were between 18

and 22 years old. Among these students, freshman, sophomore, junior, and senior consisted 31.7%, 39.8%, 16.9% and 11.6% respectively. Majority (62.3%) of students indicated they have a plan to pursuit postgraduate study.

3.2 Time Management

The levels of time management of all participants, time management between male and female students, and time management between students with and without postgraduate study plan were examined. Table 1 showed the frequency and percentage of Chinese undergraduate students' time management levels. Table 2 showed time management between male and female students. Table 3 showed time management between students with and without postgraduate study plan.

Table 1   The levels of time management (n=284)

Time Management Levels	Frequency (n)	Percentage (%)
High Level (Scored 58 and above)	139	48.9%
Moderate Level (Scored between 46-58)	125	44.1%
Low Level (Scored below 46)	20	7.0%
Total	284	100.0

As shown in Table 1, 48.9% students had high level of time management, 44.1% students had moderate level of time management, and the other 7.0% students had low level of time management.

Table 2 Time management between male and female students (n=284)

Time Management Dimensions	Mean (SD)		P-Value
	Male	Female	
Short Range Planning	22.46 (5.72)	22.10 (4.65)	0.568
Time Attitudes	19.80 (3.70)	19.72 (2.97)	0.860
Long Range Planning	16.31 (3.61)	16.03 (2.81)	0.469
Time Management	58.57 (10.86)	57.86 (8.35)	0.540

Table 3 Time management between students with and without postgraduate study plan (n=284)

Time Management Dimensions	Mean (SD)		P-Value
	Students with Postgraduate Study Plan	Students without Postgraduate Study Plan	
Short Range Planning	22.80 (5.07)	21.58 (5.77)	0.073
Time Attitudes	20.14 (3.01)	19.17 (4.04)	0.033
Long Range Planning	16.69 (3.00)	15.77 (3.84)	0.099
Time Management	59.42 (8.85)	56.51 (11.61)	0.027

As shown in Table 2, there has slight difference between male (58.57) and female (57.86) students in mean scores of time management and its three dimensions, but the differences were

not significant.

As shown in Table 3, there has slight difference between students with (59.42) and without (56.51) postgraduate study plan in mean scores of time management and its three dimensions. The two groups were significant different in time management and time attitudes dimension. But in terms of the other two dimensions short range planning and long rang planning, the differences between two groups were not significant.

3.3 Academic Achievement

Chinese undergraduate students' academic achievement was measured by students' GPA. Table 4 showed the different levels of GPA. In addition, the GPA among male and female students, and it among students with and without postgraduate study plan were examined and the results were showed in Table 5 and Table 6.

Table 4 The levels of GPA (n=284)

GPA Levels	Frequency (n)	Percentage (%)
High Level (GPA≥3.5)	18	6.3%
Relative High Level (3.0≤GPA<3.5)	76	26.8%
Moderate Level (2.5≤GPA<3.0)	102	35.9%
Relative Low Level (2.0≤GPA<2.5)	71	25.0%
Low Level (GPA<2.0)	17	6.0%
Total	284	100.0%

As shown in Table 4, 6.3% students achieved high level of GPA, which represented they had excellent academic achievement. 26.8% students achieved relative high GPA, which represented they had good academic achievement. The majority group of students which accounted 35.9% got a moderate level of GPA, which represented they had average academic achievement. But there were still 25.0% and 6.0% students got relative low and low level of GPA, which represented they had below average and poor academic achievement.

Table 5: Academic achievement between male and female students (n=284)

Variable	Mean (SD)		P-Value
	Male	Female	
Academic Achievement	2.91 (1.007)	3.24 (0.975)	0.007

Table 6: Academic achievement between students with and without postgraduate study plan (n=284)

Variable	Mean (SD)		P-Value
	Students with Postgraduate Study Plan	Students without Postgraduate Study Plane	
Academic Achievement	3.28 (0.940)	2.61 (0.979)	0.000

As data showed in Table 5 and Table 6, the mean score of academic achievement of female students (3.24) was higher than it of male students (2.91). The difference between female and male students was significant. The mean score of academic achievement of students with postgraduate study plan (3.28) was higher than it of students without postgraduate study plan (2.61). The difference between these two group was significant.

3.3 The Relationship between Time Management and Academic Achievement

The relationship between time management and academic achievement was tested by Pearson Correlation. Table 7 showed that there was a slight positive relationship between academic achievement and time management (and its three dimensions: short range planning, time attitudes, and long range planning) with Pearson correlation coefficient at 0.174 (0.126, 0.162, and 0.154 respectively).

Table 7: The relationship between time management and academic achievement

Variables		Pearson Correlation
Academic Achievement (GPA)	*Short Range Planning	0.126
	*Time Attitudes	0.162
	*Long Range Planning	0.154
	*Time Management	0.174

4. Discussion

4.1 Descriptive Information

The majority participants in this study, which accounted 90.8%, aged between 18 and 22. They were in right time for behavioral sharping and habit formation. In addition, more than half of them (62.3%) indicated that they had postgraduate study plan. They will be facing problems such as how to study effectively to get higher GPA, how to arrange time to get extra knowledge that needed for future study, and how to prepare the application process. Therefore, good learning habits and efficient time management will help them make good use of time.

4.2 Time Management

Data analysis indicated that 48.9% students in this research scored 58 or above which means they had better time management performance. 44.1% students scored 46-58 which means they had moderate level of time management. This result was different from previous studies. Pehlivan [10], Khatib [11], and Khanam et al. [9] pointed out in their research that majority of students got low time management score which showed students lack sufficient knowledge and skills on time management. The reason of this inconsistent result could be understood as the time management questionnaire in this study was a self-assessment questionnaire. It was difficult to be objective when students answering the questions. When answering questions,

they may overestimate their time management behaviors.

Considering gender, data showed that though the mean score and standard deviation of male and female students in time management and its three dimensions were slightly difference, the differences were not statistical significant. Therefore, the hypothesis "There was a significant difference between male and female students on time management" was rejected. This conclusion was also certified by [9][12]. Gender was not a factor that indicates differences in time management. Both male and female students might have effective time management skills.

In terms of future study plan, data showed the group of students who had postgraduate study plan got higher time management mean score and in all three dimensions. In addition, the differences between two groups were significant in time management and its time attitude dimension. Therefore, the hypothesis "There was a significant difference between students with and without a plan to pursuit postgraduate study on time management" was accepted. This result could be explained as once a student has a future development plan, (s)he will be more likely to arrange time properly. Therefore, not only goals in learning, goals for future career will also help university students to be more concentrated.

4.3 Academic Achievement

Though it is well recognized that GPA in school does not fully prove students ability and predict future development, it is still a critical index of school assessment. Data showed 33.1% Chinese undergraduate students got high or relative high level of GPA which reflected they have excellent and good academic achievement.

Considering gender factor, the GPA mean score of female students (3.24) was higher than the mean score of male students (2.91). Therefore, the hypothesis "There was a significant difference between male and female students on academic achievement" was accepted. In this study, $3.0 \leq GPA < 3.5$ was considered as relative high level and indicated good academic achievement. While $2.5 \leq GPA < 3.0$ represented moderate level and indicated average academic achievement. Therefore, it could be said female students in this study had better academic performance than male students. Goni et al. [13] pointed out, studies found that female students did better than male students in many examinations. However, Goni et al. [13], Baharudin and Luster [14] reported that in some specific subjects, the score differences between male and female were quite small. Many other factors may influence male and female students in general studies, learning habits or one subject, further studies concentrated on specific influencing factors are worth.

The hypothesis "There was a significant difference between students with and without a plan

to pursuit postgraduate study on academic achievement" was accepted. Students with postgraduate study plan (3.28) got higher GPA mean score than students without postgraduate study plan (2.61) which reflected that students who plan to study in postgraduate studies tended to treat study more serious and achieved higher scores. Thus, teachers may be inspired that helping students to set future goals whether on study or on career will promote students learning.

4.4 Time Management and Academic Achievement

The results showed Pearson correlation coefficient between time management and academic achievement was 0.174. Therefore, the hypothesis "There was a correlation relationship between Chinese undergraduate students' time management and academic achievement" was accepted. This result was consistence with previous studies of [3][8], and [7]. More specifically, correlation coefficient between three dimensions short range planning, time attitude, long range planning were 0.126, 0.162, and 0.154 respectively which demonstrated that all three dimensions has positive relationship with academic achievement. Accordingly, it could be understood as more knowledge and skills on time management will help students to improve their academic performance.

5. Conclusion

Based on Chinese undergraduate students in a Thai university, this study intended first to study the level of students time management and academic achievement, and further to examine if there were significant differences in time management and academic achievement in terms of gender and future study plan. Also, this study planned to demonstrate whether there was a relationship existed between students' time management and academic achievement. Questionnaires were delivered to 330 students in classes and got 284 valid questionnaires back. The quantitative analysis results showed that 48.9% students had high level of time management. The percentages of students GPA were displayed as 33.1% students got high or relative high level of GPA, 35.9% students got average level of GPA, and other 31% students got relative low or low level of GPA. The hypothesis "There was a significant difference between male and female students on time management" was rejected as P-Value=0.540. The hypothesis "There was a significant difference between students with and without a plan to pursuit postgraduate study on time management" was accepted as P-Value=0.027. The hypothesis "There was a significant difference between male and female students on academic achievement" was accepted as P-Value=0.007. The hypothesis "There was a significant difference between students with and without a plan to pursuit postgraduate study on academic achievement" was accepted as P-Value=0.000. The hypothesis "There was a correlation relationship between Chinese undergraduate students' time management and academic

achievement" was accepted as Pearson correlation coefficient=0.174.

However, this research was just a field study and the participants were a small group comparing to the amount of Chinese students in Thai universities. Meanwhile, the instrument in this research was a self-assessment questionnaire which might not provide objective information. Further studies are needed to expand research sample size and to use more sound survey tool. An interview focuses on students to get deeper understanding on their time management behaviors is also needed.

6. Acknowledgments

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Development of Problem Solving Confidence to Chinese International Graduate Students of Educational Management in Thailand by using Active Learning

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Abstract

This study aimed at applying active learning approach to enhance problem solving confidence to Chinese international graduate students of educational management in Thailand. It was a quasi-experimental design. 80 graduate students in the field of educational management in Bangkok to participate in the research, 40 students in the experimental class and the rest 40 in the control class. The intervention of active learning approach was applied to the experimental class over a 15-lesson period. The control class accepted regular lecture-based instruction without the intervention in the same period of teaching schedule. The result of a detailed one-way ANCOVA showed that the intervention approach of active learning in the experimental class contributed significant enhancement in high confidence.

Keywords: active learning, problem solving confidence, Chinese international graduate students, educational management

1. Introduction

Recently, universities strive to develop college students' 21st century competency toward Skills 2030 for future education in terms of OECD learning framework 2030, which distinguishes four types of knowledge including disciplinary, interdisciplinary, epistemic and procedural [1]. Procedural knowledge is that students are able to apply across various contexts and circumstances to classify solutions to problems, such as systems thinking and design thinking, which can assist students build thought patterns and structured processes that is to enable them to identify and solve problems [2]. Accordingly, universities need to develop graduates to acquire key proficiencies including critical thinking, communication, problem-solving, research, and teamwork skills to help them in adapting to ever-changing needs of society in terms of the term 'Citizen Scholar' [3]. Due to our world and its workforce are changing fast with global partnerships and technological advancements, problem-solving skills have become graduates' one of the most desirable abilities [4] [5] [6].

Although Thailand is not a big sending country of international students, compared to other Asian countries such as China, India or Vietnam, it is a well-liked country study destination,

bring in about 12,000 students in 2017, indicating the third most popular study destination in Southeast Asia after Malaysia and Singapore. Most students are from nearby Asian countries and other ASEAN, with China being the major sending nation by far [7]. Chinese students used to participating in passive instructional methods like lectures and demonstrations. Problem solving, explorative teaching approach applied in the West could not fit with the Confucian-based education for rote learning [8, 9, 10, 11]. Problem solving competence is mostly ignored with student achievement evaluated by means of written examinations. Additionally, Chinese students may be more pragmatic in assessing ideas, but they may also have insufficient creativity and lack of ability to explore new directions to which they are unfamiliar [12].

In educational leadership, it is commonly associated with the field of educational administration and educational management [13]. Solving problems is an essential feature of the role of an educational leader. Specifically, building leaders, such as presidents, vice presidents, deans of faculty and school administrators, are frequently overcome by circumstances that are complex, unique, and open-ended. Much deliberation has been assumed to the development of problem-solving abilities for educational leaders [14]. Accordingly, the training of problem solving skills for graduate students in the field of education management is important for their future career development.

Education is any preplanned activity, which aimed at facilitating learning. Sometimes students do not act to show their solution, indicating the low level of their self-confidence on solving the problems [15]. Also, the study shows that the high level of self-confidence happens among students challenging their understanding during solving the problem [16]. Self-confidence is the attitude that guide to feeling of dominating on life and positive view regard to himself or herself [17, 18].

Active learning is a crucial strategy for student competences development that students turn into as active contributors in their own class [19]. Active learning guides to better students' attitudes and development in their thinking and writing in terms of the literature [20]. Earlier research presents those students who participate in active learning and student centered learning developed better problem-solving abilities and critical thinking skills [21]. Hence, the definition of active learning is as activities that students do to construct knowledge and comprehension. The activities are various but oblige students to perform higher order thinking including critical thinking, creative thought, problem solving, etc. [22].

As above, student's self-confidence influences their problem solving. Chinese students used to involve in passive instructional methods with neglecting problem solving training. There are majority international Chinese students in Thailand and graduates need to develop problem

solving skills in terms of 'Citizen Scholar', especially in the area of education management based on the training of educational leadership. Active learning is an important approach to develop students' problem solving competency. Hence, this study aimed to develop problem solving confidence of international Chinese graduate students in Thailand by using the instructional strategy of active learning.

2. Theory

2.1 Active learning

Constructivist learning theory is individuals learn by means of building their own knowledge, adapting new information and experiences to current understanding and experiences to form new or advanced comprehension in terms of Piaget's theory [23]. Thus, active learning is often openly to dominate students to integrate new information and their existing mental models and extending their understanding. Approaches that promote active learning is to apply group work on this sociocultural part of constructivist learning theory, leveraging peer-peer interaction to enhance students' progress of comprehensive and precise mental models in terms of Vygotsky's sociocultural theory [22].

There are many instruments of active learning that can be applied to promote students learning. Bloom's Taxonomy has been core to the development of active learning strategies. Actually, Bloom's Taxonomy is most widely used approaches of organizing levels of educational expertise [24, 25]. Bloom's Taxonomy states three domains of educational activities including Cognition, Affective and Psychomotor. Each of these domains categorizes levels of expertise that can be assessed by means of knowledge-based, emotional, and skills-based goals [26]. Nevertheless, Bloom's higher-order cognitive abilities, such as application, analysis, synthesis and evaluation, demonstrate an in-depth understanding of material. These cognitive abilities are supported by way of active learning techniques such as visual learning, cooperative learning, debates, group discussion, peer-learning/teaching, concept map, case-based learning, and role-playing [20, 22]. Pedagogically operational merging of active learning strategies, methods, and technology tools can assist faculty and students achieve successful instruction and learning [27]. Hence, active learning is the major instructional approach in this study to develop problem solving confidence of participants.

2.2 Problem Solving Confidence

Self-confidence is the approach to led personal aspect to positive feeling of controlling on life [17, 18]. According to Mcpheat [28], confidence is able to proceed on the belief that someone has the competence to achieve success in a task in terms of the existence or not they have been able to complete that task earlier. A person with confidence can recover, moderate negative attitudes, and enhance a positive attitude. Some ways can be measured self-confidence, such as

believing in their own abilities, making decisions independently, having a positive thought, the courage to show ideas [29]. Thus, self-confidence is the crucial formula to increase students' problem-solving competence [30]. The study showed that when students solved the problems in small groups, their attitude was approach to problem solving developed and turned into applicable learners [31]. Gok [16] built and validated a problem solving confidence questionnaire that helps educators to understand students' problem solving confidence, which was identified two factors including "high confidence" and "low confidence". Accordingly, the results presents the problem solving confidence questionnaire is valid and reliable to be applied in the field of science education. This was applied to this study to measure the sample's problem solving confidence.

3. Methods

The study was a quasi-experimental design with non-equivalent control groups. The research treatment of using active learning to develop problem solving confidence of Chinese international graduate students in the field of education management (Ed.M.) in Thailand. The independent variables were international Chinese graduate students of Ed.M. who were assigned purposely to an experimental class and a control class in terms of regular program curriculum allocation. The dependent variables were a pre-test and a post-test to assess the graduate students' problem solving confidence. The control variables were instructional time and contents.

3.1 Participants

The experiment was taken place in one private university in Bangkok, Thailand. This university specifically has run a Chinese college, which use Chinese as a main instructional language to most courses. Accordingly, this college has attracted a large number of Chinese students to study for undergraduate and graduate programs. 80 international Chinese master students participated in the study. 40 of these students were assigned to the research intervention of active learning approach as the experimental class (EC). And the rest 40 were allocated to the control class (CC). Both of these two classes were in the regular courses related to education management with different pedagogic approaches. The EC accepted the treatment of active learning. In contrast, the CC took the lecture-based learning. There were 47 females and 33 males; the sex ratio was about 6:4.

3.2 Research Intervention

The intervention of active learning to develop the students in EC were implemented over 15 lessons for 3 months, one lesson was 3 hours. The teaching content was knowledge and skills about education management. The instructional method applied Bloom's Taxonomy, particularly using higher-order cognitive skills including application, analysis, synthesis and

evaluation, demonstrate a deeper comprehension of material. These are supported through active learning skills such as visual learning, cooperative learning, debates, group discussion, concept map, case-based learning, and decision-making activities [20, 22, 36, 37]. In addition, the design of the classroom for active learning with low rows of desks were replaced by spaces with flexible seating that allows for individual or group activities and can be easily reconstructed to support different teaching and learning types [38].

In contrast, the control class did not take any interventional instructions. Nevertheless, in order to parallel variance motivation, expectations and placebo effects to evaluate progression, the study used an active control class [39]. The control class also had 15 lessons for 3 months, one lesson was 3 hours. The instructional content was related to educational management as the experimental class, but active learning strategies were not applied to the control class. The teaching approach for the control class was lecture-based and teacher-centered approach.

3.3 Problem Solving Confidence Questionnaire (PSCQ)

This study applied PSCQ as a pretest and a posttest to investigate the participants' problem solving confidence before and after the research treatment. PSCQ was developed by Gok [16]. The aim was to validate the questionnaire and help instructors and researchers to understand students' problem solving confidence more precisely. The factors in the PSCQ were identified as 'high confidence' and 'low confidence' with 20 items, and 5-point Likert scale was used for the answers of the participants from 1=Strongly disagree to 5=Strongly agree. The first factor has 14 items and the second includes 6 items. The alpha coefficient for two parts was .92, which had relatively high internal consistency. LISREL was applied to evaluate validity. P value of Chi-square test was .000 (p<.05); GFI was .90; SRMR was .02; RMSEA was .04; SRMR was .02. These represented the very good fit of the data [16].

4. Results

The 80 students in both the experimental class (EC) and the control class (CC) took the pretest and the posttest. The valid respondents were 40 in the experimental class (100%) and 40 in the control condition (100%) as shown in Table 1. The total valid respondents were 80 students. There were 14 male students and 26 females in the EC, as well as 19 males and 21 females in the CC. After the research treatment, there was no significant difference between genders in both the EC (t=-.052, p>.05) and the CC (t=-1.384, p>.05), indicating no difference in the effects of the teaching methods among both genders of Chinese international graduate students.

Table 1 Descriptive analysis of the sample

Classes	Gender	N	Valid response
EC	Male	14	40 (100%)
	Female	26	
CC	Male	19	40 (100%)
	Female	21	

4.1 Paired sample t-test

In order to know the details of problem solving confidence of the students, a paired sample t-test was used to assess performance of the confidence after the research treatment. Table 2 shows that the EC had a significant progression (*p*<.001) on overall score and high confidence, as well as low confidence (*p*<.05), indicating that the students' result of the pretest and the posttest was a significant difference. The outcome of the posttest was higher than the pretest. In contrast, there was no significant difference for the CC between the pretest and the posttest, presenting no significant progression for the CC after the lectured-based approach over 15 lessons.

Table 2 Summary of paired sample t-test

Factors	Classes	Tests	Mean	SD	*t*
High confidence	EC	Pretest	3.789	.528	-4.102***
		Posttest	4.157	.534	
Low confidence		Pretest	3.078	.740	-2.477*
		Posttest	3.342	.855	
Overall		Pretest	3.434	.397	-4.012***
		Posttest	3.750	.496	
High confidence	CC	Pretest	3.691	.674	-.301
		Posttest	3.735	.931	
Low confidence		Pretest	3.235	.665	-.543
		Posttest	3.308	.778	
Overall		Pretest	3.463	.489	-.487
		Posttest	3.522	.675	

*p<.05, ***p<.001

4.2 Analysis of Covariance (ANCOVA)

A One-way ANCOVA was conducted to determine a statistically significant difference between the experimental and control classes on the posttest controlling for the pretest. Table 4 and 5 show the results. Initial testing the homogeneity of regression coefficients in the group, it showed no significant difference between two groups in the pretest (*F*=.696, *p*=.407>.05),

presenting that no significant effect of the two classes on the post-test after controlling the pretest. In the further analysis of covariates, the result of homogeneity of variation test ($F=3.312$, $p=.73>.05$) indicated that the two classes had the same variation with the same quality. The result of the final analysis of covariates presented that there was a significant effect of the two classes on the high confidence of the posttest [$F (1, 69) = 4.345$, $p<.05$], representing that the score of experimental class's high confidence on the post-test was significant higher than the control class.

Table 4 Descriptive analysis of two classes

Glasses	M	SD	N
EC	4.157	.534	38
CC	3.735	.931	34
Overall	3.958	.772	72

Table 5 Summary of one way ANCOVA about high confidence

Source	SS	df	MS	F	p
Pretest	8.284	1	8.284	18.507	.000
Classes	2.392	1	2.392	5.345	.024
Error	30.886	69	.448		
Total	42.375	71			

Subsequently, a one-way ANCOVA conducted to determine a statistically difference on the low confidence and overall. There was no significant effect of the two classes on the low confidence [$F (1, 69) = .694$, $p>.05$] and overall [$F (1, 69) = 3.404$, $p<.05$]. However, there was a significant difference of the two classes on the test of high confidence, indicating the score of the experimental class was higher than the control class. After the research intervention, the experimental class showed better high confidence than the control class.

5. Conclusion

The study aimed at applying active learning to enhance problem solving confidence of Chinese international graduate students in the field of education management in Thailand. This was a quasi-experimental design with two types of classes, the 40 students in the experimental class with the active learning approach and the rest 40 students in the control class with the lecture-based. In total, the effective sample was 80 Chinese international graduate students. The research treatment was implemented over 15 lessons.

It can be concluded that after active learning classes for 15 lessons, the problem solving confidence of experimental group was enhanced between the pretest and the posttest in terms

of the result of t-test. In contrast, the outcome of control group did not present any significant progress. Evidence from this study support earlier reviews, which show that active learning approach assist students learning more effectively and engagement than traditional type of lectured-based instruction [20, 34]. In one review, Khan, Egbue, Palkie, and Madden [35] state that the students' results in lecture course were not dramatic, but the outcome in active learning showed that students performed better in higher-level thinking.

Regarding overall confidence and low confidence, both groups had no significant difference in terms of the outcome of ANCOVA. Nevertheless, the students' high confidence in the experimental group showed better progression than the control group. This echoes with Gok's [16] statement of high confidence, which is an individual confidence being high when confronting oneself to accomplish his goals by means of education and continuous learning. In contrast, low confidence is to be identified as a negative emotion or delusion, as it inflates one's restriction in capacity, quality and potential for enhancement [16].

In summary, the active learning approach was able to enhance Chinese international graduate students' problem solving confidence in the field of education management in Thailand. Specifically, the students' high confidence showed effectively growth.

6. Implication

This study is to contribute to the level of university educators and instructors, specifically in graduate programs of education management, to understand the way of applying active learning approach to graduate students' problem solving competence effectively. It has been claimed that the vision of the center is redirected towards pedagogy, improvement in student learning are yielded [32] and leadership training turns into oriented towards pedagogical dynamics [33]. However, the study did not adopt technology-aids in the instruction. The previous reviews show evidence of using online approach and flipping classroom model in active learning effectively [34, 22, 35]. The further study may apply flipping model in active learning approach to develop college students' higher-order thinking skills.

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Factors Affecting the Academic Performance of Students in Lamgong Middle Secondary School Paro, Bhutan

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Abstract

The objective of the research was to study the relationship between learning facilities and students' academic performance of students in Lamgong Middle Secondary School Paro, Bhutan. The research method applied was descriptive survey method and used correlational design. Questionnaire was used as the main instrument for data collection. One hundred fifty five students from were included for the study. The data collected was analyzed using Pearson correlational design. The findings indicated that there was a significant correlation between learning facilities and students' academic performance. Recommendations from this research finding were to prioritize and supply adequate resources related to students' academic performance and future researchers to carry out with more sample by adopting other research methods on factors affecting the academic performance of students.

Keywords: Academic performance, Learning facilities

1. Introduction

Education is a lifelong learning process of growth and development which alters the human behavior and attitude to enhances their knowledge, skills and abilities. It is through education that one develops thinking, reasoning, problem solving, intelligence, positive attitude, judgement and good values. During the process of learning children go through various changes in and around them which sometimes acts as a barrier to learning. These changes and challenges include the changes in their physical and emotional health, domestic problems, change in the way of learning and other environmental changes such as the change in location of school, new teachers and friends which sometimes pose a threat to learning.

Therefore, schools should provide all the knowledge and facilities to enhance learning and help children to cope up with the problems they face as they grow up and learn. The concerned stakeholder should address the necessary changes in the school curriculum and prepare citizens with new knowledge, skills, values and place based education to prepare and keep them aware of the world in which these young people are growing up. Nelson Mandela rightly said: "Education is the most important weapon that you can use to change the world." Thus, schools play a great role in helping children to face the challenging world and make them understand

their roles and responsibilities as a citizen to cope up with the fast changing world. Education in Bhutan holds a dominant part for the all-round development of the nation. The government considers education as the top priority and aims to prepare its young population with exceptional tradition and culture knowhow, globally applicable skills and competencies to fit in a fast growing globalized twenty first century world. An important aspect of education is academic performance. All children performance differently and because of this, we are curious to know what makes some students perform well and while others not?

Upon placing lots of importance to education and in particular academic performance, students are not at par with other well performing countries in the world. Moreover, in last few years, Paro district have not been in top ten ranks in Performance Management System (PMS) ranking done by Ministry of Education, Bhutan. Further Lamgong Middle Secondary School (LMSS) under Paro district have not achieved 100 % result since 2016. Number of researches has been done on various factors in other parts of the world to find out how it influences children's academic performance. However, no such research has been done in the Bhutanese context and in particular related to factors affecting the academic performance of students with Middle Secondary School (MSS) students in Paro district.

2. Objectives

To investigate the relationship between learning facilities and students' academic performance of Lamgong Middle Secondary School, Paro, Bhutan

3. Methodology

3.1 Research Design

This research was carried out to study the factors affecting the academic performance of students using quantitative method. Correlational research design was used to find the relationship between variables. The data was collected through simple survey questionnaire from class IX and X students of Lamgong Middle Secondary School under Paro district in Bhutan.

3.2 Population of the study

Lamgong Middle Secondary School which is situated in Western Bhutan in Paro District has classes ranging from Pre- Primary to class X with total students of 892(462 boys and 430 girls) in 2019 academic year. The researcher intended to study the whole population of this study, which comprised of class IX – X students because this group of students falls in Middle

Secondary category.

Table 1 Population statistics of Lamgong Middle Secondary School, 2019

Class	Boys	Girls	Total
IX	36	41	77
X	38	40	78
Total	74	81	155

Source: LMSS, (2019)

3.3 Research Instruments

The researcher used questionnaires to collect data and to enable quantitative analysis of the data obtained from the field. The questionnaire consisted of survey for learning facilities. It was measured on the five points Likert scale based on their level of agreement.

Table 2 Interpretation of measurement scale

Score	Agreement
5	Strongly agree
4	Agree
3	Neutral
2	Disagree
1	Strongly disagree

Source: Adapted from (Youthao, 2019)

The levels of agreement are considered from scores of the responses and were categorized under five levels as shown below.

Table 3 Criteria for interpretation of 5 levels

Mean Score	Level	Agreement
4.21-5.00	Highest	Strongly agree
3.41-4.20	High	Agree
2.61-3.40	Moderate	Neutral
1.81-2.60	Low	Disagree
1.00-1.80	Lowest	Strongly disagree

3.4 Quality of research instruments

3.4.1 Validity

The validity of the questions will be ensured through a detailed scrutiny of content coverage and relevancy, language accuracy and suitability, feedbacks and recommendations by three experts from the university by using Item- Object Congruence (IOC). The items with validity score of 0.5 – 1.00 was used for the survey questionnaire. IOC was calculated by applying the

formula:

IOC Σ= R/N,

Where, R is the sum of experts' ratings and N is the number of experts.

3.4.2 Reliability

A pretest to determine the reliability of items was conducted with 30 students from another district of Bhutan (the school excluded in this study). To calculate the reliability test, Cronbach's Alpha Coefficient (1978) was used.

It was calculated from the following formula:

$$\alpha = \frac{k}{k-1}\left[1 - \frac{\sum_{i=1}^{k} S_i^2}{S_T^2}\right], \qquad \begin{array}{l} (k > 1) \\ (i > 1) \end{array}$$

Where, k is the number of items (questions) in the questionnaire

S_i^2 (i = 1,..., k) the variance of each question.

S_T^2 is the variance of the sum of the responses of each subject j (j = 1,. .., n)

n is equal to the number of individuals in the sample. The acceptable value of alpha in reliability analysis was 0.7, which indicated good reliability.

3.5 Data collection

To carry out the research, following data collection procedures were used to collect the necessary data.

3.5.1 Consent to carry out the research was sought from the Ministry of Education (MOE) and Chief District Education officer (CDEO) in Paro district.

3.5.2 The principal of the schools was informed through emails and personal calls.

3.5.3 The researcher personally visited the school to conduct a survey. The researcher briefed about the survey questionnaire to the respondents during the conduct day.

3.5.4 The researcher collected the questionnaire after the survey from 155 respondents for further compilation.

3.6 Statistics and data analysis

The data obtained from the individual respondents was tabulated using computer application software. The following statistics was used in data analysis:

Descriptive statistics like frequency, percentage, mean and standard deviation was used to present the general information.

Pearson correlation was used to measure the statistical relationship between learning facilities and students' academic performance.

3.7 Location of the study

The study was conducted in Lamgong Middle Secondary School in Paro, Bhutan. The study was carried out from June 2019 to June 2020 for a period of about one year.

Figure 1 A map showing the research site

4. Results and Discussion

The objective of the study was to find the relationship between learning facilities and students' academic performance. Pearson's correlation coefficient was used to find the association between learning facilities with students' academic performance.

Table 4 Relationship between learning facilities and academic performance

	LF	Score
Learning Facilities (LF)	1	
Score	.359**	1

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

As per the finding, learning facilities and academic performance were significantly correlated at the significant level at 0.01. Therefore, learning facilities and academic performance of students have relationship between them.

Table 5 Relationship between learning facilities and academic performance

Independent Variable	β	t	R	R Square	F	Sig.
Learning facilities	0.3	2.4	0.51	0.26	5.75	0.02

Predictor: (Constant), Learning facilities

Dependent Variable: Score

The findings showed that there was a significant relationship between learning facilities and academic performance of students.

Facilities have been treated as the most important attributes in smooth functioning of teaching and learning process in schools. As per the finding, learning facilities and academic performance have significant relationship which was rightly pointed by Akinsolu [1] that, for any organization to function smoothly there should be adequate, appropriate and worth supply of resources to enhance learning and yields better results. Without availability of resources, everything is hindered. Teachers cannot impart concepts clearly. The transfer of knowledge does not only take place in the four walls of the classroom from teacher to students but rather learning takes place through discovery, exploration and interaction with the internal and external environment for the creative and innovative conduct of teaching and learning process [2].

To accomplish fruitful academic performance, the schools should provide adequate learning materials such as enough library books, equipment in the laboratory, classroom size and other related materials to facilitate learning. As per the Center for Evaluation and Education Analysis Policy [3] found out that learning facilities has intense effect on both teachers and students' performance.

According to Hussain [4] poor and insufficient resources have a negative impact on general achievement of the concerned stakeholders. To have progressive success, schools should have learning conveniences to justify their achievement. Whereas ugly and outdated infrastructure, unpleasing ramparts and floorings, shortage of lavatories, insufficient classroom furniture, poor means of transport, deficiency of safety atmosphere, water supply, no electricity, no sports field, less staff, insufficient teaching space, congested teaching space and so on cause the institute at risk.

The result showed that learning facilities was significantly correlated with the academic performance which is in line with the finding of [5] that resources are of the utmost importance to have better performance. Learning facilities are an important element of any educational institution and are directly linked with better academic performance of students. Physical environment comprises of school building and other facilities including physical structures, infrastructure, furniture, and the use and presence of chemicals and biological supply in the laboratories. Sound school surroundings can unswervingly improve the health of children and helps in effective learning. Thereby it contributes to the development of healthy, skilled and productive members of society. The finding was in view of value [2] where open space in

schools can be considered with regard to the specific functions it provides in achieving educational objectives which include exposing the students to a natural environment and engaging them in physical education activities that enhance performance in school.

Bhutan's top priority is education and to fulfill the aspiration of the nation, ministry of education continuously monitors and ensures that all schools across the country have good access to learning facilities. Learning facilities includes of school building, furniture, books, libraries and the use and presence of chemicals and biological supply in the laboratories and the most important resources or facilities in schools are the teachers. As per MOE [6] "Teachers are the key resource in education; and how they are developed and supported throughout their careers necessarily has a strong impact on the performance of students and schools – particularly those with the greatest need." Therefore, the government is effortlessly working on building teachers morale, teacher retention strategies, pay revision, increasing number of teacher trainees' intake by the universities in the country.

However, the influence on academic performance varies from one academic environment to another, from one set of students to the next, and indeed from one cultural setting to another and the findings of this study could be due to the context of the study, questionnaire, literature review and variables. Brilliant minds need constant stimulation. Most students experience some level of boredom in the classroom because they lack engagement. This causes them to become inattentive and unmotivated. High achievers become bored in the classroom or lack motivation because they think out of the box. Boredom can lead to frustration, bad behavior or depression. It causes demotivation in learning. Students who have above average proficiency and are not engaged and challenged in the classroom are at risk from becoming underachievers.

Finally, a good school environment where good working facilities exist is a reagent for effective teaching and learning. In a school where there is enough space for the teachers to walk round in the classroom while delivering lesson will promote charming attention of students and good academic performance. Therefore, learning facilities and teaching learning should coexist to yield beautiful results.

5. Conclusion

Education in Bhutan has come a long way since late 1950s with the introduction of modern education. The visionary leaderships of our successive Monarchs and the Royal Government have always accorded the highest importance to education as a result of which, Bhutan has witnessed significant progress in the human capital, as well as, in enabling unprecedented socioeconomic development. However, with changing times, the education is also faced with numerous challenges. Amongst many, the quality of education is presently a matter of deep

national concern. There was a need for research into factors affecting the academic performance of students. The absence of such studies from the Bhutanese perspective triggered the researcher to embark on this study. This study examined the factors affecting the academic performance of students especially with learning facilities.

Therefore, the purpose of this study was to examine the factors affecting the academic performance of students in Lamgong Middle Secondary School, Paro, Bhutan. The data was collected from 155 students and the response rate was 100 percent. In order to answer three research questions, the study followed quantitative method. The data for the study was collected through questionnaire. Pearson's correlation coefficient was used to find the association between learning facilities and students' academic performance. As per the finding, learning facilities and academic performance of students were significantly correlated. The significant level for learning facilities was at 0.359 levels.

To accomplish fruitful academic performance, the schools should provide adequate learning materials such as enough library books, equipment in the laboratory, classroom size and other related materials to facilitate learning. This clearly indicated that facilities like textbooks are an essential part of learning. The finding was further supported by [7] that education cannot succeed without adequate books. In the same vein, Hallack [5] agreed that the acquisition, availability, relevance and adequate use of educational resource items like the basic school requirements by the pupils enhance their academic performance and that their unattractiveness and non-availability can contribute to poor performance. The study by Alemnge [8] reports that reading scores of learners who own and use textbooks are higher in comparison to those without textbooks and textbooks have a direct impact on good performance among the learners in developing countries mostly as they spend most of their time studying in a classroom for a day, such requirements influence the teaching and learning process. Schools with equipped libraries, with updated textbooks enhance and influence learners' academic performance.

However, there are many limitations in this study that limit its generalizability. The study relied only on quantitative approach by just targeting students. The study was in Bhutanese setting and the findings add Bhutanese points of view to the group of researchers on factors affecting the academic performance of students and the investigation in this way could be connected in the distinctive settings. Based on the findings, it has been found that comparing factors that affect students' academic achievement was a complex issue that can vary from one school to another, from one academic environment to another, from one set of students to the next, and indeed from one cultural setting to another.

The recommendations from the research findings and for further research were made as well

for future studies regarding factors affecting the academic performance of students. The study was in Bhutanese setting and the findings add Bhutanese points of view to the group of researchers on factors affecting the academic performance of students and the investigation in this way could be connected in the distinctive settings. Based on the findings, it has been found that comparing factors that affect students' academic achievement was a complex issue that can vary from one school to another, from one academic environment to another, from one set of students to the next, and indeed from one cultural setting to another.

Therefore, it will be suggested if mixed methods to be conducted in the next research with considering academic teachers as well to be included as this will provide a comprehensive justification for the factors affecting academic performance. Another limitation is the sample size, the sample population in this current study was selected from one school and hence there is limited generalizability of results. Similar study should be conducted in other parts of the country.

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Factors Influencing Students' Participation in Co-curricular Activities in Wangchhu Middle Secondary School in Chhukha District, Bhutan

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Abstract

The purposes of this research were to study the levels of students' perception towards infrastructural facilities, teachers' role, parental involvement and students' participation in co-curricular activities, to study the relationship between the infrastructural facilities, teachers' role, parental involvement and students' participation in co-curricular activities and to determine the predictors on the students' participation in co-curricular activities in Wangchhu Middle Secondary School in Chhukha District, Bhutan. The study adapted the quantitative research method. The study was carried out with the whole population which comprised of 134 students. Descriptive statistical analysis, Pearson's product-moment correlation coefficient and Multiple regression analysis were employed in analyzing the data.The validity test confirmed that all the items under the variables had an IOC of 1.00 and was validated by three experts. The reliability test confirmed that the variables were reliable with Cronbach's Alpha. The findings revealed that the students perceived the levels of infrastructural facilities, parental involvement and students' participation in co-curricular activities at a high level. However, teachers' role was perceived at a moderate level. The relationship between infrastructural facilities with the students' participation in CCAs was rated at (r=.352) with the highest correlation. It was followed by teachers' role (r=.321) and then by parental involvement (r=.158). A stepwise multiple regression found out that Infrastructural facilities had the highest influence on students' participation in CCAs (B=.27) and followed by teachers' role (B=.23). Future researchers are recommended to explore other variables for more authentic impact.

Keywords: Co-Curricular Activities, Students' Participation, Infrastructural Facilities, Teachers' Role, Parental Involvement

1. Introduction

1.1 Background and of the study

The modern education system emphasizes that child comes to school for all-round and harmonious development. According to Co-Scholastic [1], all-roundness is considered as the

theme of modern education which recognizes that when the child comes to the school, their mental, physical, social, spiritual & vocational education should be taken care of. Thus, children must be educated and nourished in all aspects. The entire process of education is not something fixed or one time measure; it is a continuous and life-long venture through curricular and co-curricular activities. Therefore, co-curricular activities in a well-developed education system are recognized as a source of enrichment and vitalization of the curriculum, mainly through cultivation of hobbies and interests, which will contribute to a long, happy and normal life of the child. This comprises of providing opportunities and experience of quality Co-curricular Activities (CCAs) inside as well as outside the four walls of the classroom.

CCAs are defined as the activities that enable to supplement and complement the main syllabi curriculum. CCAs are expected to enhance students' experience, develop students' soft skills, help them cope with stress, and provide them with additional advantages to raise their employability [2]. Hence, these activities are an important part and parcel of educational institutions to develop the students' personality as well as to strengthen the classroom learning. These activities are organized after school hours, so known as Extra-Curricular Activities (ECAs). CCAs have wide horizon to cater to the cultural, social, aesthetic development of the child. Accordingly, planned co-curricular activities are equally educational as those based on the textbooks and syllabi for academic achievements.

Education, though responsible for preparing children for their adult life, is often bogged down while reacting to social demands that are driven by almost continuous changes. Educating a child is a long-term business and a very expensive venture. Nevertheless, it must move on positively, preparing children for their adulthood hoping that they will find their satisfying life ahead. Changes in the education system in recent times have brought about a change in the aims of education. With the increase of higher education, competition between graduates in the labor market also increases. So the students should be aware that their degree will not guarantee them a job, so participation in CCAs is one such strategy where children can prepare themselves for the real world of work for their coming future [3].

Globally, different activities in which students participate be it inside or outside the school itself are among the numerous situations that can have an effect on performance. In the USA, CCAs have been related with an improved education level, more competences that are interpersonal, higher aspirations and a better attention level as cited by Kisango [4]. The study carried out by Mehmood et al. [5] reveals that CCAs play a considerable role in personality development of secondary school students. These activities are unavoidable for achieving curricular objectives whereas educational aims, goals and objectives are achieved by the curriculum. There are varieties of CCAs being carried out in schools and their implementation is influenced by several

factors. These factors are; resource allocation, pre-planning of the activities, training of students and patrons of co-curricular activities, monitoring and evaluation of the co-curricular activities [6]. Along with these factors, there are also other prevalent factors such as infrastructural facilities, teachers' role and parental involvement in the process of students' participation in CCAs in schools.

Change in the philosophical and psychological ideas have now given a new direction to the school curriculum. School Education in Bhutan provides a formal learning environment, public and private, from Pre-Primary (PP) to Class XII. The school education offers opportunities to all students to realize their full potential by addressing access, quality, and equity so that they can become socially useful and economically productive citizens [7]. Education has played a central role in the social, economic, political, cultural, intellectual and environmental development of the country to give it a distinct identity as a small, peaceful, progressive and happy nation. The purpose of having CCAs in school is to provide every child equal opportunities and for the wholesome development of a child. Participating in CCAs helps children in the development of leadership qualities, communication skills, performance, creativity, decision-making and co-operation.

Accordingly, Bhutan like any other countries has recognized the importance of co-curricular activities. Therefore CCAs has always been part of contemporary education system although modern education was introduced relatively late in Bhutan. The need for interactive activities to address the changing circumstances gained attention in Bhutan and to further address the need, Gross National Happiness values were infused in school curriculum. According to the 30ᵗʰ Education Policy Guidelines and Instruction, educating for GNH was launched to transform behavior and attitude of students which can ultimately prepare children for the world of work [8].

Considering the above facet, every school in Bhutan is expected to prioritize the CCA by formulating the school based guidelines of CCA based upon the location and the other locality aspect of the school. Thus, this study aims to highlight the factors influencing student's participation in co-curricular activities.

2. Objective of the study

A. To study the levels of infrastructural facilities, teachers' role, parental involvement and students' participation in co-curricular activities.
B. To study the relationship between the infrastructural facilities, teachers' role, parental involvement and students' participation in co-curricular activities.
C. To determine the predictors on the students' participation in co-curricular activities.

3. Population of the study

The population of the study comprised of classes IX – X students of Wangchhu Middle Secondary Schools in the Western Bhutan. The population includes a total of 134 students with 72 class IX students and 62 class X students.

4. Research Instrument

The research instruments (questionnaires) was structured and self-administered to the respondents. The researcher used questionnaires to collect data and to enable quantitative analysis of the data obtained from the field. The questionnaire was divided into the following parts:

Part I contained general information of the respondents like age, gender and class.
Part II contained the four sets of questionnaires including the students' participation in CCAs, Infrastructural facilities, Teachers' role and Parental involvement in the students' participation in CCAs.

5. Data Collection

An approval to carry out research was sought from the concerned authority before the commencement of data collection. Then the researcher personally visited the school to collect data.

6. Literature Review

6.1 Concept of Co-curricular Activities in Schools of Bhutan

CCAs are the expansion of a good educational program and support the academic mission of the school. Earlier CCAs was known as ECAs, which are essential mechanism of non-academic curriculum and helps to develop various aspects of the personality development of the child.

In Bhutan, the Department of Youth and Sports (DYS) is responsible to provide the youth with the programmes related to health and development to nurture and empower youth with required values and skills. They plan programmes such that it enables children to cope with rising challenges and provide avenues for their positive overall personality growth and development [7]. This mandate can be fulfilled only through the conduct of multiple of CCAs in the grass root level like schools because the youths are country's assets and they should be well guided and supported. Further this mission is supported by other divisions like Career Education & Counseling Division (CECD), Games and Sports Division (GSD), Scouts & Culture Education Division (SCED) and Youth Center Division (YCD).

The purpose of having CCAs is to provide every child an equal opportunity to participate for wholesome development of a child. It also provides an equal opportunity and maximum student participation in every field. Values inculcating through these activities are: (1) Civic virtues: a) Being responsible; b) Respect for laws and being law abiding citizens; c) Care and respect for properties; d) Being productive citizens. (2) Social Values: a) Appreciation of individual's relation to a group; b) Team spirit, co-operation, loyalty, sense of belongingness. (3) Cultural values to understand and learn culture through: a) Participation in cultural activities; b) Observing religious and national festivals. (4) Leadership qualities: a) being creative and resourceful; b) Possessing a high sense of independence; c) Planning, organizing and executing plans independently; d) Conduct tournaments. (5) Meeting psychological needs of the students by: a) Being agents for the sublimation of the instincts, b) Serving as out lets for pent-up emotions of the child; c) Providing opportunities for the expressions of individual differences and training of potential capabilities and aspects of personalities of the people.

6.2 Students' participation in Co-curricular Activities

According to Eccles [9], organized CCAs may incorporate clubs, athletic opportunities, dance line or cheer teams, Scouts, drama or theater, youth groups, student council, and club sports. There are diverse impression of what is considered CCAs. A few examples of activities outside the school day may consist of pro-social activities such as dances, team sports, and performing arts, while in-school involvement activities may comprise indoor and academic clubs. Various levels of activity involvement and participation may positively impact future accomplishments for those who participate. Research also pointed out that both the type of CCAs and level of participation may impact the individuals' growth of a child.

Any sort of activities at school plays a significant part in the development of students. Co-Curricular activities have become an integral part of the school life and broaden students' learning at school. Students' participation in Co-Curricular Activities (CCA) refers to students' active engagement in activities sponsored, sanctioned, or supported by the school like games and sports, cultural programs, music, literary activities like extempore speech, quiz, debate, speech and scouting etc. in development of academic achievement, self-confidence, imagination, empathy, cooperation and collaboration, creative skills, communication and many other social skills that are fundamental for holistic development of children through value based creative engagements. These activities are mandatory and necessary for every student to be involved. CCAs are structured and balanced with the academic curriculum so that every child gets the opportunities to acquire knowledge beyond the prescribed subjects.

6.3 Infrastructural facilities and students' participation in co- curricular activities

The physical infrastructure facilities are the compulsory components of any educational

institution and are directly associated with better performance of students not only in academics but also in CCAs [10]. Taking part in the CCAs influences the psycho-motor domain of students positively, life skills such as team work, leadership skills, confidence, and compassion are developed and this helps them to gain the capacity to make appropriate judgments in the environment in which they find themselves. In addition, sporting activity helps in keeping fit and guiding against killer diseases, hence to enhance the psychomotor domain of students [11]. This can be achieved only if the schools have adequate recreational facilities for smooth conduct of CCAs. Naz, et al. [10] are in the view that physical facilities for the students in the academic institutions reduce depression and pessimism and increase self-esteem to a greater extent, which indirectly influences and enhances students' behavioral capacity. This further helps in students' participation in CCAs.

6.4 Teachers' role and students' participation in co-curricular activities

Rajashekhar et al. [12] mentioned that the teacher should have to perform multi-dimensional functions in organizing and executing CCAs. It is also the school, which play a fundamental role in conducting CCAs. It is the responsibility of the teacher or the school who finally should take the lead role in how activities should proceed further. The teacher can be a planner, leader, innovator, director, organizer, manager, recorder, advisor, motivator, communicator or coordinator. While executing such activities, the teacher may face lots of difficulties. But he should not be discouraged and must complete the assignment after consultation with seniors and school administrator.

6.5   Parental involvement and students' participation in co-curricular Activities

It takes a village to raise a child is a popular proverb with a clear message: the whole community has an essential role to play in the growth and development of its young people. In addition to the vital role that parents and family members play in a child's education, the broader community too has a responsibility to assure high-quality education for all students [13]. Heaton [14] says parental involvement is not a new concept. Schools have been seeking the support of parents both in and out of the classroom in order to boost student achievement and behavior outcomes throughout the history of education. Faber [15] is with the same view as [14] that parent involvement is not a new idea that just emerged in the last few decades. Parent involvement throughout the years has existed all the way from elementary school level. Parents volunteer for career day, field trips, and snacks on a regular basis which are an integral part of the elementary experience. This interaction between teacher, parent, and student keeps the lines of communication open and enhances academic achievement. However, as student progress into middle and high school, parental involvement diminishes. Nevertheless, parents are still an influential part of students' lives regardless of grade level.

7. Data Analysis

Table 7.1 The level of students' perception towards infrastructural facilities, teachers' role, parental involvement and students' participation in CCAs in Wangchhu Middle Secondary School in Chhukha District, Bhutan. (N=134)

	Variables	Mean	SD	Level
1	Students' participation in CCAs	3.85	0.94	High
2	Infrastructural Facilities	3.50	1.02	High
3	Teachers' Role	3.38	1.07	Moderate
4	Parental Involvement	3.72	1.07	High

Notes: The rating scale was divided into 5 levels according to the mean score from 4.21-5.00 as the Highest, 3.41-4.20 as High, 2.61-3.40 as Moderate, 1.81-2.60 as Low and 1.00-1.80 as the Lowest.

From the results of statistical analysis indicated in the Table 7.1, it indicated that the overall level of students' participation in CCAs was rated at high level with an average mean score of 3.85. The levels of fifteen items were in the range of an average mean ranging between 2.81 and 4.63. None of the items are in the lowest level. From the fifteen items of students' participation in CCAs, the item "My school conducts all types of CCAs such as games, sports, cultural programs, music, and literary activities like extempore speeches, quizzes, debate, speech, scouting, etc." is at the highest level with the mean score of 4.63 and the item "The planned CCAs in my school are not enough for all the students to avail the opportunities" is at low level with the mean score of 2.81.A similar study was conducted by Don et al. (2016) to identify the effectiveness of teacher leadership and student's commitment of involvement in extra-curricular activities towards the development of students' soft skills in secondary schools in two states of peninsular Malaysia, where they have determined the students' involvement level in extracurricular activities based on four dimensions. This study is found to have the same result as the level of student's involvement in extra-curricular activities is perceived at high level. This signifies that the students' participation in CCA in Wangchhu Middle Secondary School in Chhukha District, Bhutan is as per the guidelines of the government policy and school policy. This shows that school empathize CCAs as an integral part of students besides academic.

The level of infrastructural facilities was perceived at the high level by the respondents with an average mean score of 3.50. The levels of fifteen items were in the range of the mean ranging between 2.68 and 4.19. The item "School buildings are conducive and safe enough to carry CCAs" showed at the high level with the mean score of 4.19 and the item "Inadequate sporting materials hinder many students from being involved in co-curricular activities" was at moderate level with the mean score of 2.68.The result is in parallel with a survey research carried out by Njeri [6]. The study concluded that, relatively good resource allocation influenced the CCAs

implementation because the resources motivate the students. Therefore the level of infrastructural facilities was perceived high.

The result also shows that the level of teachers' roles were perceived at a moderate level with an average mean score of 3.38. Of the fifteen items, the item "My teachers ensure that students learn by participating in CCAs" is at the highest level with the mean score of 4.23 and item "My teachers are not adequately trained to facilitate students' absorption of proper skills" is at a low level with the mean score of 2.29. In a study conducted by Don, Raman, Hussin, & Kasim (2016), on the role of teacher leadership and CCAs in the construction of the soft skills of secondary school students in Malaysia, their study reported that the overall leadership practices of the teachers were perceived at a high level by the respondent based on the five dimensions of leadership practices in national secondary school teachers.

The level of parental involvement was perceived at the high level by the respondents with an average mean score of 3.72. Item "My parents place more trust in me and believe that my own interests are motivational enough for me to put in the effort" showed the highest level with the mean score of 4.28 and the item "My parents volunteer at my school to support CCAs" showed at the moderate level with the mean score of 3.06. The result of this study coincides with the similar study carried out by [15] to find the clear perceptions of students' participation in CCAs and parental involvement. The study found out that the benefits of CCAs and parent involvement are identified by students at the high school level because the high school students in this study provided evidence that parents can affect their children's experience in CCAs.

Table 7.2 Correlations of infrastructural facilities, teachers' role, parental involvement and students' participation in CCAs.

Research Variables	SPCCA	IF	TR	PI
Students' participation in CCAs (SPCCA)	1			
Infrastructural Facilities (IF)	.352**	1		
Teachers' Role (TR)	.321**	.420**	1	
Parental Involvement (PI)	.158	.266**	.398**	1

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

The findings in Table 7.2 showed that, the relationship among all independent variables as well as dependent variable had correlation coefficient less than 0.75. Therefore, there was no significant problem of multicollinearity between the variables. The findings of the study revealed that two variables; infrastructural facilities and teachers' roles were significantly correlated at the .01 level. The other factor, parental involvement is not significantly correlated at the .01 level.

The relationship between infrastructural facilities with the students' participation in CCAs was rated at (r= .352) with the highest correlation. But in a similar study carried out by Wangai (2012), the result found that physical facilities did not significantly influence the development of co-curricular talents among students where weak positive relationship with a coefficient of determination 0.147.

There was a positive correlation relation between teachers' role and the students' participation in CCAs (r= .321) with statistical significance at the 0.01 level. In the related study carried out by Kisango [4] on factors influencing students' participation in co-curricular activities in Public Secondary Schools in Lamu County Kenya found that there is a weak positive relationship with a coefficient of determination 0.09 between teachers' role and students' involvement in co-curriculum activities.

The relationship between parental involvement and the students' participation in CCAs had a positive correlation (r= .158). This result is consistent with findings of the study carried out by Kisango [4] on factors influencing students' participation in co-curricular activities in Public Secondary Schools in Lamu County Kenya. The result reported that there is a strong positive relationship with a coefficient of determination of 0.81 between parental involvement and students' involvement in CCAs.

Table 7.3 Factors as a predictor of the students' participation in co-curricular activities in Wangchhu Middle Secondary School in Chhukha District, Bhutan.

Factors	β	t	R	R^2	R^2Change	F	F Change
Teachers' Role	.23	2.99	.36	.13	.13	19.55	14.37
Infrastructural Facilities	.27	2.85	.42	.18	.05	14.37	8.14
Constant	2.14	6.53					

From the findings of statistical analysis using stepwise multiple regressions shown in Table 7.3, it was reported that only teachers' role and infrastructural facilities could predict students' participation in CCAs. While the other factors, parental involvement has the negligible effect on students' participation in CCAs in Wangchhu Middle Secondary School in Chhukha District, Bhutan. This result contradicts with the findings of the study carried out by [4]. Even though the study have not found out the predictive factors of students' participation in CCAs but from the result reported on the relationship between parental involvement and students' involvement in CCAs, parents were seen to contribute positively in their role on the development of students' activities in co-curricular activities. Therefore parental involvement affects the students' participation in CCAs in larger portion.

It was found that the predictive factors; teachers' role had influence on students' participation in co-curricular activities at (β = .23) and could predict 13% of the students' participation in co-curricular activities with statically significant at the 0.01 level. The other factor, infrastructural facilities had influence on students' participation in co-curricular activities at (β = .27) with statically significant at the 0.01 level.

Infrastructural facilities combine with teachers' role could predict 18% of the students' participation in co-curricular activities which means infrastructural facilities could increase the prediction rate by 5%. But the study by Kisango [4] got the adverse result; the study indicated that physical facilities did not affect the development of co-curricular activities among students which showed a negative relationship between infrastructural facilities and development of students' activities in co-curricular activities. Similar happened regarding the teachers' role in students' participation in CCAs. From the data analysis result of Kisango [4], there exist weak positive relationships between the role played by the teachers and students' involvement, implying that there is a very small influence on students' participation in co-curricular activities.

8.   Conclusions

This study used quantitative method to examine the factors influencing students' participation in co-curricular activities in Wangchhu Middle Secondary School in Chhukha District, Bhutan. The total population of 134 students were surveyed. 100% of the respondents completed the questionnaires adding standard validity to the findings.

1. The descriptive analysis of the data showed that the respondent were in the age range of 15 – 23 years old. More than half of the respondents (57.5%) were female and 42.5% were male.
2. The level of students' participation in CCA in Wangchhu Middle Secondary School in Chhukha District was analyzed based on the 15 items. From the result of statistical analysis, the result found out that the overall level of students' participation in CCAs was perceived at high level with an average mean score of 3.85.
3. The level of infrastructural facilities was perceived at the high level by the respondents with an average mean score of 3.50.
4. The level of teachers' role was rated at a moderate level with an average mean score of 3.38.
5. The level of parental involvement was perceived at the high level by the respondents with an average mean score of 3.72.
6. The relationship among all independent variables well as dependent variable had correlation coefficient less than 0.75. Therefore, there was no significant problem of multicollinearity between the variables. The findings showed that two variables;

infrastructural facilities and teachers' roles were significantly correlated at the .01 level and the other factor; parental involvement was not significantly correlated at the .01 level.

7. A Pearson's data analysis revealed that the three factors and the students' participation in CCAs had a positive correlation in the range of (r= .158 to r=.352) as perceived by the students of Wangchhu Middle Secondary School in Chhukha District, Bhutan.

8. The relationship between infrastructural facilities with the students' participation in CCAs rated at (r= .352) with the highest correlation. It was followed by teachers' role (r= .321) and then parental involvement at (r= .158).

9. From the statistical analysis using stepwise multiple regressions, it was reported that only infrastructural facilities and teachers' role could predict students' participation in CCAs in Wangchhu Middle Secondary School in Chhukha District, Bhutan.

10. It was found that teachers' role had influence on students' participation in co-curricular activities at (β = .23) and infrastructural facilities at (β =.27)

11. Teachers' role could predict 13% of the students' participation in co-curricular activities with statically significant at the 0.01 level. The other factor, infrastructural facilities combine with teachers' role could predict 18% of the students' participation in co-curricular activities.

9. Recommendations

9.1 Recommendations from the research findings

Based on the findings of this study, the researcher would like to suggest the following recommendations to the relevant stakeholders to upscale the students' participation in co-curricular activities.

1. According to the finding of this study, infrastructural facilities had the highest positive correlation as well as the highest predictor on students' participation in CCAs. Infrastructural facilities being key component for students' participation in CCAs, government and the school administrations should acquire adequate facilities so that it won't hinder students from being involved in CCAs. This can be evidenced from the item "The success of CCAs in my school depends on the availability of infrastructural facilities" which is rated at a high level. Therefore, the government and the school administration should look for attractive infrastructural facilities, so that all students feel passionate about participating in CAAs.

2. From the finding of the study, teachers' roles are found out to have the next highest positive correlation with the students' participation in CCAs. Teachers should continue to support and motivate students to participate in various CCAs. However some students

are in the view that all the teachers are not adequately trained to facilitate students' absorption of proper skills. So, it is recommended that the ministry and the school administration should create abundant training opportunities for teachers so that teachers can perform multi- dimensional functions in organizing and executing CCAs in school.

3. The relationship between parental involvement and the students' participation was not significantly correlated. Parental involvement is often seen as a basis in a child's education. It can make a considerable difference to the child's school life, both in academic success as well as general enjoyment at school. Therefore, it is recommended that parents should actively involve in their children's CCAs by motivating and encouraging. Thus, parents need to communicate often with their children as well as teachers by volunteering and supporting CCAs carried out at school.

9.2 Recommendations for the further studies

1. It is recommended to conduct qualitative research on students' participation in CCAs so as to identify what actually hinder students to participate in CCAs.

2. This study focused on only four variables, other variables such as school funding / budget, income of the parents, peer pressure, location of the school, education level of the parents and school policy etc. can be explored for more authentic impact.

3. The studies in the future should increase the sample size to embrace more schools and grade levels to produce additional proof to ascertain the effects of students' participation in CCAs.

4. A comparative study could be carried out to compare the participation in CCAs level of the students in urban and remote schools in the country.

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Factors Affecting Grade 6 Students' Skills in Primary Schools in Wangdue Phodrang District, Bhutan

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Abstract

The purpose of the study was to determine the level of students' skills, examine the relationship between parental involvement, school facilities, teacher's skills and abilities, peer relationship and students' skills, compare the differences in students' skills based on level of parent education and family income, and investigate the predictive factors that affect grade 6 students' skills in primary schools in Wangdue Phodrang district, Bhutan. The study adopted quantitative research methodology with descriptive survey design and employed questionnaires to collect data from 222 grade 6 students studying in three primary schools. The data was analyzed using descriptive statistics, Pearson's coefficient correlation, one-way ANOVA and stepwise multiple regression analysis. The research findings indicated that the overall level of students' skills, parental involvement, school facilities, teacher's skills and abilities and peer relationship were rated at high level. The correlation between the students' skills, parental involvement, school facilities, teacher's skills and abilities and peer relationship were shown positive and statistically significant at significance level P=0.000. Peer relationships had the highest correlation with students' skills at (r =.665). The result also revealed that parent education and family income does not make any significant difference in students' skills. Peer relationship, school facilities and parental involvement were recognized as predictive factors which had the highest significant effect on students' skills. Peer relationships had the highest effect on the students' skills with the highest coefficient value (β= .520). From the findings, it could be suggested that the school and teachers should create awareness on positive peer relationship, deliver quality teaching and learning programs with enriching activities by employing cooperative learning strategies to develop and strengthen the students' skills.

Keywords: Students' skills, Academic skill, Social and Emotional Skill, Moral skill

1. Introduction

Education is one of the very important aspects in the life of people that instills the essential skills, knowledge and abilities leading to holistic growth and development of the individual, community and nation [1][2]. It was also believed that the educated person apart from achieving

his/her own goals and desires, render effective support and contributions to the welfare of the community [2]. Therefore, it is very essential to educate every individual with various skills from childhood and primary schooling to enhance the holistic development. The students' skills such as academic, social and emotional, and moral skills determines the future goals and objectives of students as well as aids in holistic development of the children.

Education in Bhutan is given highest importance by the government as it plays a central role in the social, economic, political, cultural, intellectual and environmental development. The general objective of school education in Bhutan is to prepare its citizens to develop into knowledgeable, skilful, creative, innovative and capable person who can respond to the national needs and emerging global trends. Therefore, schools were established at every part of the country to accomplish the objective. Many primary schools are established in all part of country and was given the high priority as it was believed that investment in primary education pay off in long run and contributes in reducing poverty and inequality. Primary schools has also been a great success in achieving universal enrolment and completion [3].

The schools in Bhutan focus on all aspects such as academic, moral value, culture and tradition, health and hygiene and social and emotional wellbeing of the student as Mooy [4] and Thayer [5] states that the academic performance of a child depends on their social and emotional development as children gets adapted to the school environment by getting along with the peers leading to greater academic success in school. The students are taught basic literacy and numeracy skills, history, geography, culture and tradition, health and hygiene, population education and fundamentals of agriculture in primary schools in Bhutan. The ministry of education has also strengthened and improved the access to quality ECCD, established extended classrooms for those children living in remote and scattered villages, focused on improving teacher's competency and motivation by investing in the professional development, organized National Drama festival to enhance children's school readiness, improve the quality of education, increase access to education and to develop and strengthen self- confidence, cooperation, collaboration, communication, creativity, imagination and for the holistic development of children [3].

Despite of all the achievements, the education system is facing lots of challenges in providing the students with efficient, effective and quality education which instills knowledge, skills and values for their holistic development of the children and the **quality of education is challenged in meeting the international standards as it was found out that the Bhutanese students lacks the skills that requires application, analysis, creativity and problem solving as per Bhutan's PISA-D National Report [6].** Many research studies has revealed many factors which affects student's skills such as socio-economic background, student's cognitive abilities,

school related factors, environment at home, family and parental involvement and support in children's learning.

Therefore, it is evident enough to explore the factors which affect the students' skills in primary school because primary schools build the foundation for the achievement in higher education. Moreover, there were limited studies related to this topic in Bhutan and but none of these studies discovered the factors that affects multiple skills such as academic skills, social emotional and moral skills which contributes to learning and achievements in primary schools. Therefore, this study is different from the previous studies and is intended to find the factors that effects the student's skills such as academic, social and emotional and moral skills of the grade 6 student's in primary schools in Bhutan.

2. Research Objectives

A. To study the level of grade 6 students' skills in primary schools in Wangdue Phodrang district, Bhutan.
B. To compare the differences in students' skills based on level of parent education and family income of grade 6 students' skills in primary schools in Wangdue Phodrang district, Bhutan.
C. To examine the relationship between parental involvement, school facilities, teacher's skills and abilities, peer relationship and students' skills of grade 6 students in primary schools in Wangdue Phodrang district, Bhutan.
D. To investigate the predictive factors that affect grade 6 students' skills in primary schools in Wangdue Phodrang district, Bhutan.

3. Research Methodology

3.1 Research design

The descriptive study design and quantitative research method was used in this research to study the factors affecting the student's skill of grade six students in primary schools in Wangdue Phodrang district, Bhutan.

3.2 Population and sampling of the study

The sample of 3 primary schools were selected using purposive sampling based on the location of the school, number of students and accessibility from the road. The population consists of 222 grade six students from three primary schools in urban region under Wangdue Phodrang district, Bhutan.

3.3 Research Instrument

The instrument used in this study was survey questionnaire for students. The survey questionnaire consisted four parts. Part-I consisted general information of respondent and Part II is the information about parent education, family income and parent's involvement. Part III has questionnaires on the school factors such as school facilities, teacher's skills and abilities and peer- relationship and Part IV consists of questionnaires on the student's skills (academic, social and emotional and moral skills). There are 40 items in total and each item used Five-point Likert scale.

3.4 Data collection

A descriptive and inferential statistics such as frequency and percentage was used to determine level of students' skills, Pearson Correlational design was used to find the relationships between various factors and students' skills, one-way ANOVA was used to compare the students' skills based on level of parent education and family income and stepwise multiple regression analysis was used to find out the predictive factors that affects student's skills.

4. Literature review

4.1 Students' skills

4.1.1 Academic skills

Academic skills refers to the ability to perform well academically such as doing well in reading, writing and mathematics by using different strategies like communicating effectively, analyzing, understanding and responding critically to any lecture or question, taking notes, understanding and solving mathematics problems, managing and organizing time for reading and writing home work in order to effectively progress through a class [7]. Academic skills is reflected as a factor that leads to children's school readiness and aids in reducing the dropouts with advanced behavior in classroom and higher morale [8]. Academic achievement is very essential in making a smooth transaction into adulthood, achieving professional and economic success and becoming a successful person in the society. Thus, Regier (2011) **believes that academic achievement boost the students' self-esteem with lesser** intensities of anxiety and depression, socially motivated and less chances of indulging in substance abuse. So, academic achievement cannot be compromised and therefore should be considered as very essential foundation for the bright future.

4.1.2 Social and emotional skills

According to OECD [9], social and emotional skills are the ability to understand and regulate

one's emotions, behavior and maintain positive relationship with others. Thayer [5] states that social and emotional skill contributes in cognitive skill development like academic performance, career and success in life such as better adaptation of children in the school environment and getting along with peers, leading to more achievement in school. The study on "The Impact of Social and Emotional Learning on a Kindergarten Classroom" carried out by Mooy [4] also stated that social and emotional learning had a positive impact on the kindergarten student's behavior because in his study, the children exhibited a significant change in their behavior after receiving just six weeks of social and emotional learning lesson. The researcher further stated that the academic performance of a child depends on their social and emotional development. So, social and emotional learning should be mandatory and included in the curriculum as it enhance children's learning.

4.1.3 Moral skills

Educating a person doesn't only mean focusing on the academic success, but also helping those people to grow, develop and fit them as an effective member in the society. As per Outlaw [10], moral values are based on the principle that distinguish between right and wrong, good or evil, which rules the person's behaviors and choices. Oswalt et al. [11] states that **children usually inherit moral values and skills through their direct experience, observation from the behaviors of other persons as they are very real and they do not know how to apply the abstract discussion.** So, it's the role of the family and teachers to support the children in pursuing these values.

4.2 Factors affecting students' skills

4.2.1 Parent Education

Parent education refers to the level of educational attainment of the parents which can impact their own skills, values and knowledge about educational system and it will influence their educational practice at home by exhibiting those skills, values and knowledge with their children and intervene in educational system on behalf of their child [12]. Many researches on parenting has revealed that parent education is related to a warm and social climate at home. In addition, highly educated parents hold high expectation and aspiration from their child, provide more materials and activities that stimulate their child's learning, interact and engage in quality parent-child instruction and use more varied, complex language and speech patterns and support their child's   learning to develop their various skills [13].

4.2.2 Family Income

Family income **refers to income that family earns in order to live their life and fulfill their**

children's needs. As per Egalite [14], **family** with higher income impact children's skills through enrolling them in high quality schools, raising them in very stimulating learning environment and providing them with nutritious diet for healthy growth and vice-versa. Isaacs and Magnuson [15] also believed that children from low socio-economic background perform poorly in school leading to greater grade retention and lesser school completion and graduation which affect their educational attainment contributing to lower economic success in future. Family income was found to have greater benefits in academic skills. So higher the family income, better the performance of the students and vice-versa.

4.2.3 Parental involvement

Parental involvement is a combination of commitment and active participation of the parent both at home and school which enhances children's greater academic success, good behavior and moral values, better social and emotional skills and better adaptation to school, better attendance and lower drop-out rates [16]. Parent's participation in children's learning promote child's motivation and determination in challenging any educational task and it generally influences the academic achievement of the children but it also have impact on other elements such as children's self-esteem and self-reliance and increased motivation regardless of their economic background [17]. However, barriers such as parent's employment issues and different culture background acts as an inhibitor for effective parental involvement [18]. So in such cases, the teachers should come up with some form of involvement which helps in knowing parents expectation when involving them.

4.2.4 School facilities

*S*chool facilities have insightful impact on students as well as the teacher's outcomes such as health, behavior, learning, engagement and greater progress in achievements. Therefore, to enhance the productivity in teaching and learning, the staffs and students should be provided with the material resources that necessitated the creative and innovative development. The access to facilities such as textbooks, various teaching learning materials, handouts, library and laboratory facilities promotes better understanding of academic concept and enhance the academic performance of the students [2]. In addition, all the physical facilities such as drinking water, play grounds, emergency health services, furniture, compound walls, toilets, libraries and technologies also fosters student's better, concrete and actual learning experiences and successful school endeavor [19]. Thus, schools should have high-quality infrastructure facilitates and teaching learning equipment for improving and enhancing students outcomes, reducing dropouts, conducive learning environment and successful school endeavor.

4.2.5 Teacher's skills and abilities

Teaching is considered as a rewarding thing which offers the opportunity to change the lives of

other people for better and if the teachers are equipped with better skills and abilities, they can definitely develop subject knowledge, mind set and personality of any person. Therefore, teachers are said to be responsible person for the student's performance, whether it is good or poor [20]. Thus, teachers should be well equipped with the knowledge, information, technology, innovative and new teaching methods, strategies for handling the discipline issues and guiding all the school activities. As per Kapur [2], the teaching method and strategies applied by the teachers while teaching should be appropriate, encouraging and more of student-centered which are beneficial to the students. It was further stated that to enhance the improvement of the learning experiences of the students, the teachers should create conducive atmosphere in teaching and learning process.

4.2.6 Peer relationship

Children usually grasps many abilities through positive peer relationship such as cooperation, negotiation, maintaining relationship, sharing, compromising and even mastering skills like perspective-taking, conflict management, loyalty, intimacy, and other social skills [21]. In addition, Stuhlman and Pianta (2009) states that children's relationship in the classroom with their peers helps them to develop their social skills which fosters their adjustment in the school, solving academic problems, engaging in many activities during leisure time, sharing ones happiness and sorrows, etc. However, Olalekan [22] believed that the peer relationship has both positive and negative effect on student's learning, therefore they need to be careful while choosing their friends so that their attitude toward learning would be enriched. The unintelligent children performs better when he/she is part of a peer group that are inclined towards studying hard but if a brilliant child is surrounded by dull and mischievous peer group, then the child would lose interest in learning and indulge in mischievous acts leading to poor performance and failure in school.

5. Data Analysis

Data were analyzed using SPSS 22.0. All 222 grade 6 students from 3 primary school returned the completed questionnaire which made to 100% response rate.

5.1   Level of students' skills and the level of factors

Table 1 Level of students' skills and factors

	Variables	Mean	Std. Deviation	Level
1	Students' skills	3.57	0.57	High
2	Parental involvement	3.62	0.67	High
3	School facilities	4.29	0.47	Highest
4	Teacher's skills and abilities	4.29	0.47	Highest
5	Peer relationship	4.03	0.47	High

The descriptive statistics such as mean and standard deviation of all the observed variables under student's skills, family factor and school factors are presented in the following table 1.

The overall level of students' skills was shown with average mean score of 3.57 and perceived at high level. From four independent variables, school facilities and teacher's skills and abilities were rated highest with the mean score of 4.29. Parent involvement has the least mean score of 3.62 but was rated high. Peer relationship was also rated high with mean score of 4.03.

The finding is in consistent with the study by Zainuddin and Subri [23] who revealed that the level of school facilities was perceived highest with mean score 4.44 and showed that school facilities had significant impact on the academic achievement of the students. The reasons to account for such finding could be due to the adequate school facilities in the schools such as water provision, electricity, laboratories and classrooms which enhances the development of students' skills.

The finding was further supported by the study conducted by Alshammari et al. [20] who found that teacher related factors had the highest mean score of 4.16 compared to other school related factors and student related factors. As per the study by Prasertcharoensuka et al. [24], the learning achievement of the students was affected by the teacher competency factors such as curriculum delivery and learning management. The reasons to account for such finding could be due to the improvement in teacher's competencies, motivation and commitment by providing various and continuous professional development programs which aimed in improving the quality of education in Bhutan [3].

Parental involvement also affects children learning as parents are the sources of security and encouragement who supports their children in every areas and solve their problems [2]. Similarly, peer relationship is one of the factors which affects children's emotional, behavioral and adjustment difficulties in addition to academic achievement. The study by Shin et al. [25] stated that children who have good peer-relations were mentally healthy and can also adapt well, whereas children with bad peer-relations are liable to problems in these areas.

Therefore, it was evident from the findings that the schools had adequate school facilities, skilled and competent teachers with high rate of parents getting involved in their children's learning and greater cooperation, communication and interaction among the peers which contribute to enhance students' skills.

5.2 *Differences in students' skills based on level of parent education and family income*

The finding revealed that there is no significant difference in students' skills based on different

level of parent education and family income because the calculated p-value through ANOVA Test was 0.448 and 0.662 respectively which is more than 0.05. Which clearly indicates that parent's education level and family income doesn't make any difference in students' skills.

The finding is parallel with study by [20] which showed that socio-economic status of the parents doesn't affect children's academic performance at t-value 0.031 and p-value 0.970. Whereas, Rabgay [1] observed moderate correlation between parent education level and academic performance of the children. The possible reasons to account for such finding could be due to free, equitable and accessible education provided to every child by the government in Bhutan. Another possible reasons for such findings could also be due adequate school facilities and qualified, competent and active teachers which motivates the children to learn and achieve success despite coming from illiterate and low income family.

5.3 The Relationship between factors and students' skills

Based on Pearson's coefficient correlation, it was found that there was strong correlation between the parental involvement, school facilities, teacher's skills and abilities and peer relationship with students' skills at (p=<.01) ranging from r=.479 to r=.665. Peer relationship and students' skills had a highest correlation at r =.665.

This finding is in line with the study by Olalekan [22] who found that peer group determines the academic ability of the students where dull students becomes motivated and start showing interest in study when they join the group that encourage effective learning and vice-versa. A study by Shin et al. [25] also found out that peer relationship during childhood are significantly associated with emotions, behavior and adjustment of the students. The possible reasons to account for such finding could be due the implementation of Kegan's cooperative learning structures and strategies in teaching and learning which focused on engaging every students in the class through peer or group activities which promotes effective peer collaboration and improve test scores of the students where teachers are just the facilitator [26].

5.4 The predictive factors affecting students' skills

The predictive factors (family and school) that affects students' skills were analyzed and explained in table 2 using step-wise multiple regression.

Table 2 The Predictive Factors (family and School) towards students' skills

Independent Variables	β	t	R	R^2	R^2 Change	Sig.
Peer-relationship	.520	8.628	.665[a]	.443	.443	.000**
Parental Involvement	.160	3.994	.700[b]	.491	.048	.000**
School facilities	.200	3.482	.719[c]	.518	.027	.001**

Note: **coefficient is significant < 0.01

The result analysis had determined peer-relationship, parent involvement and school facilities as the predictive factors affecting the students' skills. All the three predictors could predict 51.8% of variance in students' skills at significance level 0.01. Therefore, the result indicated that all the three variables were the significant variables which can predict higher level of students' skills in primary schools of Wangdue Phodrang district in Bhutan.

The study concluded that peer relationship had highest effect on students' skills with the highest coefficient value (β= .520). This finding is consistent with the study by Kapur [2] who stated that positive peer relationship benefits the students in many ways such as solving academic problems, sharing their emotions, getting involved in leisure activities, being happy and loving school and so on. The reasons to account for such finding could be due to the implementation of 21ˢᵗ century transformative pedagogy which is about engaging students through discourse, group work and partners in Bhutan. As per the findings from the study by Shin et al. [25], peer-relationship is one of the factors which affects children's emotional, behavioral and adjustment difficulties additional to academic achievement.

Findings also revealed that parental involvement as another factor which affects students' skills. This finding was in line with the study by Partin [13] who examined the correlation between parent involvement and students' academic achievement and found that those students' whose parents are involved in their educational process performed better and achieved high scores compared to students whose parents are not involved. The reasons to account for such result could be through various activities and awareness programs organized by the school and teachers to encourage and involve parents in students' learning. In addition, the study by Dotterer and Wehrspann (2015) also perceived parent involvement as predictor of school engagement as parent involvement contributes positively in children's school bonding and school self-esteem, lessens children's school trouble and aids in academic competence and achievement of the students.

School facilities was also revealed as one of the factor which affects students' skills and it was in accordance with the study by Alshammari et al. [20] who stated that school-related factors such as availability and perceived quality of learning facilities like library, laboratories and

computer have greater impact on the academic performance of the student. The reasons to account for such finding could be due to the adequate school facilities in the schools such as water provision, electricity, laboratories classrooms, toilets, teaching learning materials, etc. which enhances the development of students' skills. However, the study by Adane [28] on "Factors affecting Low Academic Achievement of Pupil in Kemp Methodist Junior High School in Aburi, Eastern region" found that school structures and facilities such as school building, library, store, offices, toilet, electricity and water doesn't show any significant difference in the academic achievement of the students but inadequate teaching and learning materials was one of the cause for low academic achievement of the students.

6. Conclusion

In conclusion, the study found that the level students' skills, parental involvement, school facilities, teacher's skills and abilities and peer relationship were rated at high level and all four independent variables (parent education, school facilities, teacher's skills and abilities and peer relationship) had positive relationship with students' skills. Peer relationship had the highest positive correlation with the students' skills. The result also revealed that parent education and family income doesn't make any significant difference in students' skills. Peer relationship, school facilities and parent involvement were recognized as predictive factors which had 51.8 % of variance on students' skills from which peer relationship had the highest effect on grade 6 students' skills in Primary schools under Wangdue Phodrang district, Bhutan.

7. Recommendations

As per the findings of the present study, the following recommendations are made for the improvement of the students' skills.

A. The school should take active role in facilitating student wellbeing in the school by organizing various activities to engage the students actively through cooperation and collaboration which will enhance their relationship and strengthen their academic, social and emotional, and moral skills.

B. As peer relationship has highest effect on students' skills, creating positive peer connections in the classroom by employing cooperative learning structures and strategies may be one of the best ways to promote effective learning.

C. The teacher should maintain warm relationship with the students as it help the students to exhibit pro-social behavior and engage in good peer relationship.

D. The parents should monitor and encourage their children to have friends who influence them positively in learning both at home and in school.

E. Parents should remain actively involved in their children's lives by modelling healthy relationships with others as the place where children learn about relationship is in their families.

F. The future research should explore student related factors such as attitude of students towards learning, school, teachers, family and friends and some psychological factors which affects students' skills.

G. This study employed quantitative research methodology. The further study can use both quantitative and qualitative to make the result more precise, reliable and significant.

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Factors Affecting the Sustanability of Kagan Cooperative Learning Structures in Sarpang Central School Under Sarpang Disrtict, Bhutan

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Abstract

This research paper is designed to find out the level of factors affecting the sustainability of the Kagan cooperatives learning structures,to study the relationship between the four factors with sustainability of the Kagan cooperatives learning structures and to find the predictive factors affecting the sustainability of the Kagan cooperatives learning structures in Sarpang Central School. The research was conducted by quantitative method. The population was 91 teachers of Sarpang Central School. The data was collected through survey questionnaires. The research findings showed that levels of factors affecting   the sustainability of Kagan cooperative learning structures in Sarpang Central School under Sarpang District, Bhutan were high. Among the four factors students 'achievement had the highest mean score at high level 3.71. Pearson's correlation was used to analyze the relationship between the four factors with the sustainability of Kagan cooperative learning structures. The results showed significant correlation among the four factors and sustainability of Kagan cooperatives learning structures. According to the analysis of step wise multiple regression ,3 predictive factors were identified which are classroom management, teaching strategies and students' achievement. The results also revealed that these three factors affected the most in sustainability of Kagan cooperatives learning in Sarpang Central School under Sarpang District, Bhutan.

Keywords: sustainability, affecting, Kagan, cooperatives learning, structure

1. Introduction

Education is the most powerful weapon to change the world and countries like Korea, Malaysia, Singapore, Ireland and others became advanced because of their investment in education as these countries knew education transforms lives [1]. The Education System in Bhutan gave its birth after the great saint Zhabdrung's arrival in Bhutan through Monastic Education System, education system meant for religious and spiritual learning only. Gradually, the first modern school was established in the country by the His Majesty the Third king. Since then the pedagogical approach of teaching has remained traditional.

The Royal Government of Bhutan, in particular, the Ministry of Education has realized the need

to Re-think the approach of teaching pedagogy for the 21st Century Learners so transformative pedagogy based on Kagan cooperative learning was launched to address the new demand of the teaching approach in 2016. The primary purpose of the transformative pedagogy is to change the traditional approach of teaching to active learning through Kagan cooperative learning structures.

Kagan cooperative learning Structures are instructional strategies designed to promote cooperation and communication in the classroom, boost students' confidence and retain their interest in classroom interaction. According to Hinson [2], the application of Kagan structures is key to ensure that all students are learning to their fullest potential because best practice implies providing students with useful tools that may facilitate learning throughout their educational lives and future careers.

The transformative pedagogy enables academic equity, bridges the achievement gaps, promotes social skills, personal organization and builds students as an individual and as part of a team. However, teachers and students are accustomed with traditional mode of teaching-learning. The main drive of the transformative pedagogy is to change the traditional approach of teaching to active learning through the introduction of Kagan cooperative learning structures. Therefore, this study is to find out the whether the four factors student-centered learning, teaching strategies, students 'achievement and classroom management contributes towards the sustainability of Kagan cooperatives learning structures in Sarpang Central School.

1.1 Objectives

A. To study the level of the factors affecting the sustainability of Kagan cooperatives learning structures in the classroom teaching and learning in Sarpang Central School, Bhutan.

B. To explore the relationship between Student-centered learning, Teaching strategies, Students' achievement, Classroom management and Sustainability of Kagan cooperative learning structures in Sarpang Central School, Bhutan.

C. To investigate predictive factors affects in sustainability Kagan cooperatives learning structures in the classroom teaching and learning in Sarpang Central School, Bhutan.

1.2 Brief description of Sarpang Central School

Sarpang Higher Secondary School was initially started as a private school sometime in the late 1950s on the bank of Sarpang Khola River near the Sarpang market area, under Shompangkha Geog. The school started with two teachers with Nepali as a medium of instruction. In 1962, government took over the school and started with Dzongkha and English media. Since the school was then located at flood prone area, it was relocated at Sarpang Tar right in front of the

police station. the school was upgraded to a Middle Secondary School in 2001 and in 2008, the school was further upgraded to a Higher Secondary School. In 2016 July, the school was changed into a Central School, and it was renamed as Sarpang Central School. In 2018 school was clubbed with Sarpang lower secondary school and known as campus A and there are 90 teachers and 1970 students from both the campus.

The central school system began with 24 pilot central schools in 2015. Twenty-seven new ones were declared in 2016 taking the number to 51. All students in central schools receive stationery, school uniform, school shoes, socks and sports gears. Boarder students are also provided mattresses, blankets, bed sheets, bedcovers, pillow, pillow cases and towel. They are served all three meals, while day scholars are provided only mid-day meal. The Ministry of Education of Bhutan is convinced that central schools are the solution to inequality challenges, sustainability, and quality education [3].

1.3 The conceptual frame work

The researcher reviewed articles, books and journals to develop the conceptual framework. The researcher identified four factors from the article titled "Benefits of Kagan structures" are independent variables namely student-centered learning, teaching strategies, classroom management and finally students' achievement. Sustainability of Kagan cooperative learning structures as the dependent variable. The independent variables are the factors which are advantages of Kagan cooperative learning structures which in turn will support in retaining or sustaining the dependent variable.
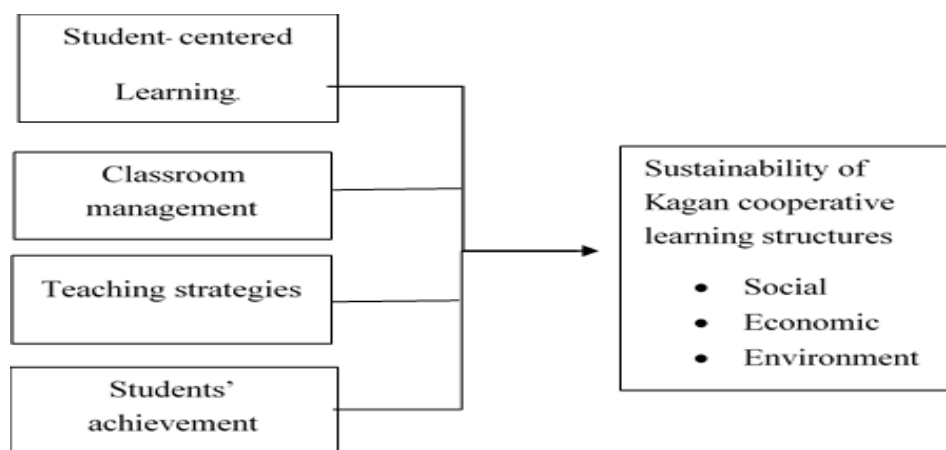

Figure 1.1 Conceptual Framework

2. Literature Review

To study the factors affecting towards the sustainability of Kagan cooperative learning structures, there are four independent variables and one dependent variable. The four variables

are student-centered learning, teaching strategies, students 'achievement and classroom management. Dependent variable is sustainability of Kagan cooperative learning structure.

2.1 Student-centered learning:

Student-Centered Learning, also known as learner-centered education, broadly encompasses methods of teaching that shift the focus of instruction from the teacher to the student. The teacher still has an authoritative role, but the students and the teachers play an equally active part in the learning process (Camposn, 2019). Student-centered learning is a method of education, which focuses on overcoming some of the problems faced by the traditional forms of education by catering to the learner and their needs, rather than being centered around the teacher's input (Communiqué, 2015). Kagan also cites that students favors cooperative learning structures over traditional methods of teaching because the learning is fun, engaging, and students are allowed to interact with their peers (Kagan, 2003).

In a nutshell it means the structures promotes student centered learning as children works together. They are responsible for each other learning as structures demands children to work among themselves which fosters their cognitive skills and social skills development which are important traits for learning. It has slowly replaced the typical traditional class to contemporary and modern class of 21st century. Before everything was done by the teachers and students were just passive listener but with Kagan classroom instructions teaching has embark in new and fun journey for both teachers and students as it helps children of all the abilities. Even children from low achiever groups and shy ones can take part actively in the learning, question and challenge each other, share and discuss their ideas, and internalize their learning as structures force them to shed inhibition

2.2 Teaching strategies

Teaching strategies refer to methods used to help students learn the wanted course contents and be able to develop attainable goals in the future (Armstrong, 2013). These are strategies the teacher employs to assist student learning. The Kagan cooperative learning structures are teacher-friendly, easy to learn, content free, series of repeatable steps that teachers can use with a class, every lesson. There are different structures for different things, e.g. Problem solving, discussion work and revision (Kagan, 2019), the teacher uses simple Kagan Structures as part of any lesson rather than preparing complex cooperative learning or multiple intelligences lessons. A cooperative learning or multiple intelligences lesson might take an hour or even several days, most Kagan cooperative learning structures take but a few minutes (Kagan, 2000). It takes the same amount of class time, with no special preparation or planning. Kagan Structures are very much easier to implement. They do not involve special materials, planning, or preparation and do not require tedious scoring systems (Kagan, 2013).

Thousands of studies have proved that using Kagan cooperative learning has improved the achievements of students so it is unlikely that this method will be not practice by the teachers as there are enough evidence to suggest that Kagan cooperative learning structures works. Children not only gain academically but socially also. The most important aspect of using cooperative learning structures, it will narrow down the gap between low and high achiever. Owing to above cited reasons there is more chances that this method will be continued and maintained.

2.3 Student's achievement:

Student achievement measures the amount of academic content a student learns in a determined amount of time [11]. Student achievement is a student doing well academically, gaining life skills and giving back to their community. .Teachers who have introduced Kagan learning often remark on the impact it has on increasing participation, engagement as well as the effect it has on delivering real results in terms of academic achievement [12]. They also report a wide range of other improved outcomes including: a more positive social climate, dramatically improved ethnic relations, more enthusiastic and engaged students, and fewer discipline referrals. It helps to increase appreciation for the purposes of teaching and learning (Kagan, 2000). Not only that, it has been found out that traditional teaching can lead to an ever-widening gap between high and low achievers, the Kagan method aims to close that gap.

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2.4 Classroom management:

Educational scholars defined classroom management as a set of skills required by teachers in order to reach an attractive, constructive and effective educational environment [13]. Kagan has developed discipline structures to guide teachers as they interact with disruptive students so they can create win-win discipline solutions (Kagan, 2008). The management recommended and discussed to establish and implement a quiet signal. The quiet signal is an indicator to the class that all talking and movement in the classroom is to cease and that complete attention is to be given to the teacher by each student. Then next recommendation is the sitting arrangement of the students. Students should be in four, seated close by for interaction and there should be ample space to move around.

Teachers have always been having difficulty especially for the beginners in managing the classroom but now they can breathe a sigh of relief as they are rendered with cooperative learning structures which help them to manage the class. If the class is managed well, learning becomes easy and enriching for both the teachers and students. Kagan cooperative learning structures is helpful in lower classes where the classroom management is huge task for teachers. Since the structures keep the students engage most of the times there is no room for disruption or chaos in the class.so it will help in sustain the Kagan cooperative learning structures in the class.

3. Dependent variable: sustainability of Kagan cooperative learning structures

According to business dictionary the meaning of sustainability is the condition of retaining (keeping) something. It is more of a strategy than an outcome. It follows three principles.

3.1 Economic

Less materials are needed in cooperative learning. One of the social skills taught in cooperative learning is sharing. Teachers usually purchase a class set of materials for the groups to share. By using cooperative learning less equipment is necessary therefore money is saved without sacrificing the quality of education [16].

3.2 Social

Cooperative learning groups set the stage for students to learn social skills. These skills help to build stronger cooperation among group members. Leadership, decision-making, trust-building, and communication are different skills that are developed in cooperative learning. Student interaction is at the core of the Kagan method, but it's not unstructured. Teachers aren't expected to stick with one Structure for learning; they can pick and choose the activities that will engage the different learning styles in their class [17].

3.3 Environment

In cooperative learning, students work together in small groups on a structured activity. They are individually accountable for their work, and the work of the group as a whole is also assessed. They are learners actively participate; teachers become learners at times, and learners sometimes teach; respect is given to every member; projects and questions interest and challenge students; diversity is celebrated, and all contributions are valued; students learn skills for resolving conflicts when they arise; members draw upon their past experience and

knowledge; goals are clearly identified and used as a guide; research tools such as Internet access are made available [16].

4. Methodology

4.1 Research design

In this research design, quantitative method was used with descriptive survey design. The quantitative approach was conducted using descriptive research design and data was collected through simple self-administered survey questionnaires from the 91teachers of Sarpang Central School under Sarpang district.

4.2 Population

Chose all the 91 teachers as participants from the aforementioned school and distributed questionnaires to these participants and conduct the interview. Participants in this study included all the teachers of Sarpang Central School trained by a Kagan professional developer.

4.3 Research Instrument

Survey questionnaires was used to determine the factors affecting the sustainability of Kegan cooperative learning structures in classroom teaching by the researcher.

4.4 Data Collection Technique

Got approval letter from the Ministry of Education, District authority and school principal with clear description of proposed study. The researcher provided self-administered questionnaire to the participants. Since this research was about how to retain or sustain the Kegan structures in classroom teaching and learning, only the teachers who have attended the transformative pedagogy workshop in the year 2016 were included for the survey questionnaires.

4.5 Quantitative Data Analysis

The data collected is analyzed with the statistical program. The followings statics are used.

4.5.1 Personal information of each teacher such as gender, age and no. of services in teaching profession were analysed by frequency and percentage.

4.5.2 The level of the factors affecting the sustainability of Kagan cooperative learning structures in Sarpang central school was analyzed by mean and standard deviation.

4.5.3 To analyze the relationship between factors affecting the sustainability of Kagan cooperative learning structures by using Pearson Correlation.

4.5.4 Multiple regression was used to analyze the investigation of whether the predictors affects in sustainability of Kagan Structures.

5. Data analysis

The levels of factors affecting the sustainability of Kagan cooperatives learning structures.

Table 1. Overall levels of factors affecting the sustainability of Kagan cooperatives learning structures to address the first objective.

Overall perception	Mean	SD	Level
Student-centered learning	3.44	0..92	High
Teaching strategies	3.49	0.91	High
Students 'achievement	3.73	0.84	High
Classroom management	3.23	0.92	Moderate
Total	3.47	0.90	High

Note:1.00-1.80=lowest,1.81-2.60=low,2.61-3.40=moderatel,3.41-4.20=high,4.21-5.00=highest

Table 1 indicated that the overall levels of Student-centered learning, Teaching strategies, Students 'achievement, Classroom management were rated as high level with the mean score 3.47. The highest variable is students' achievement with mean score of 3,73 followed by teaching strategies with mean score at 3.49. The lowest variable is classroom management with the mean score of 3.23 among the other variables rated.

The relationship between four factors with sustainability of Kagan cooperative learning structures in Sarpang Central School.

Table 2 Analysis of the correlation between independent and dependent variables

	SCL	TS	SA	CM	SUMEES
Student -centered learning	1				
Teaching Strategies	.653**	1			
Students 'achievement	.580**	.669**	1		
Classroom Management	.576**	.622**	.549**	1	
sustainability of Kagan cooperative learning structures	.601**	.686**	.636**	.672**	1

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

SCL= Student -centered learning, TS=Teaching strategies, SA=Students' achievement, CM= Classroom management, SOKCLS= Sustainability of Kagan cooperative learning structures

This study was conducted using the Pearson correlation to judge whether the relationship existed between four factors with the sustainability of Kagan cooperative learning structures in Sarpang Central School, Bhutan to address the second objectives. As shown in the table 2, the finding showed that all the four factors and Sustainability of Kagan cooperative learning structures have positive relationship from.601 to .786. Student centered learning had positive relationship with sustainability of Kagan cooperative learning structures with .601. Teaching strategies had positive relationship with sustainability of Kagan cooperative learning structures with .686.   Students' achievement had positive relationship with sustainability of Kagan cooperative learning structures with .636. Classroom management had positive relationship with sustainability of Kagan cooperative learning structures with .672.

Table 3 Factors as predictor in the sustainability of Kagan cooperative learning structures in Sarpang Central School.

Independent variables	B	T	R	R²	F	R²change	F change
Teaching strategies	0.28	3.11	0.69	0.47	79.3	0.47	79.3
Classroom management	0.35	3.92	0.75	0.57	58.14	0.1	20.02
Students' achievement	0.19	2.5	0.77	0.6	43.17	0.03	6.27
Constant	0.74						

The multiple regression was conducted to see whether following predictors affects the sustainability of the Kagan cooperative learning structures. The three variables which are imputed are Classroom management and Teaching strategies and students 'achievement. The results were shown in table 3.

From the table 3 the stepwise Multiple Regression Analysis presented in table 3 was to defined predictive factors for the sustainability of Kagan cooperative learning structures in Sarpang Central School. The result of the analysis determined three independent variables as the predictive factors affecting the sustainability of Kagan structures which are classroom management (CM) and teaching strategies (TS) and students' achievement while one variable is found to be non-significant.

It was found that teaching strategies affects more in sustaining the Kagan cooperative learning structures in Sarpang Central School at (B=.28) and could predict 47% in sustaining the Kagan cooperative learning structures in Sarpang Central School with statically significant at the 0.01 level. Classroom management affected in sustaining the Kagan cooperatives learning at (B=.35) with statically significant at the 0.01 level and could predict the sustainability of Kagan cooperative learning structures in Sarpang Central School by 10%. Students' achievement affected (B=.19) and could predict up to 3%.

Sustainability of Kagan cooperative learning structures=.74+.28(Teaching strategies) +.35 (Classroom management) +.19(Students' achievement)

6. Conclusion

The findings of this study concluded that the total average of the factors affecting the sustainability of Kagan cooperative learning structures was at high level with the average of 3.58 mean score. The fours factors such as student-centered learning, teaching strategies, students 'achievement and classroom management got an average rating of 3.44,3.49,3.73 and 3.23 respectively. All the factors fell under the high level except classroom management. This shows that all the factors affected in sustainability of Kagan cooperative learning structures.

The sustainability of Kagan cooperative learning structures was at high level with the mean score of 3.47. The significant correlations among the variables ranged from r=.601(p<.01) to r=.686(p<.01). This indicated that all the four factors have high correlation with the dependent variable but teaching strategies and sustainability of Kagan cooperative learning structures has the highest positive correlation (r=.686).

The predictive factors affecting the sustainability of Kagan cooperative learning structures were investigated, which are teaching strategies (TS) and classroom management (CM) and students' achievement. The predictive factors had 60% positive effect on the sustainability of Kagan cooperative learning structures. These three factors measured were the most significant variables that can predict the sustainability of Kagan cooperative learning structures in Sarpang Central School under Sarpang District, Bhutan with a significance at high level (p<0.01). It means these three factors affected the most in sustaining the Kagan cooperative learning structures in Sarpang Central School.

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Effects of Quality of Non-Formal Education on Quality of Life of Woman under Tashichholing Dungkhang in Samtse, Bhutan

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Abstract

This research aims to study the level; the relationship between Quality of Non-Formal education and Quality of life and to investigate the predictors of Quality of Non-formal education of Tashichholing Dungkhag, Samtse Bhutan. The study used a quantitative method using questionnaire survey for the entire population of 130 women learners in 14 NFE centers. The data were analyzed using descriptive statistics, Pearson's Correlation and Step-wise Multiple Regression Analysis. The findings revealed that the women perceived Quality of Non-formal education at the highest level and Quality of life at the high level. There was a significant relationship between the four domains of Quality of Non- formal education and Quality of life of women, and the regression analysis showed that Quality Teaching Methods, Quality learning Materials and Quality Curriculum were predictive factors of Quality of life of women under Tashichholing Dungkhag, Samtse Bhutan. From the findings of the study, the policy makers and officials are recommended to consider Quality of Teaching Methods as crucial factor which showed the highest level of relationship with Quality of life of women at r =.587 and it could influence 35% of the quality of life of women under Tashichholing Dungkhag, Samtse Bhutan.

keywords: Quality of Non- formal education, Quality of life, women education, Bhutan

1. 1 Introduction

Education is accepted as fundamental right not only to human development but also to let all the people live with dignity. Though education has evolved a long way back, it has not been advantageous to all the people especially women. Education is being mediated socially as a measure of cultural currency to differentiate between haves and haves-not. Most of the women in rural communities are disadvantaged compared to rural men and urban women and face multiple and inter related cultural barriers that limit the realization of their fundamental human rights and their economic empowerment. Women make indispensible contributions to the agricultural and rural economies in all the developing countries. Though many of these activities are not economically active employment in national accounts, they are important to the wellbeing of the rural people. Quality of life refers to the well-being of an individual and

the society and it has been an important concept for people of all the ages. According to Juozas [12], Quality of life is defined as a concept of economics, sociology and political science which involves individual's spiritual, social and physical well-being.

The year 1990 was the international year for literacy where the main focus was on the education and empowerment of the women. Every country in the world has taken an important role in educating their citizen to improve the inequalities in the society. Non-formal education has come as a boon to many with particular regard to rural and marginalized communities as the dream of going to school is fulfilled. Non formal-education has played a vital role especially in the lives of rural women. Though learning to read and write is a fundamental right, in Bhutan, the literacy rate of female aged 15 years and older were only 57.08% in 2017 [30]. Realizing the importance of the contribution and the role played by the women, most of the countries in the world have taken a drastic step for the empowerment of the women. The vision of [28] is to transform lives through education as education is the main driver of development and in achieving the Sustainable Development Goals with a sense of urgency to a single, renewed education agenda that is holistic, ambitious and aspirational, leaving no one behind. To fulfill this global objective and to promote lifelong learning, the government of Bhutan gives a high priority to the education.

The Non-formal education has gained a widespread popularity in amongst the adult population in providing the basic literacy, numeracy and functional skills in the country. The wellbeing of an individual is important and it can be achieved through Non-formal education which especially helps the women. Non-formal education has been a successful programme in Bhutan which has benefited most of the rural women who could not continue their formal schooling. As of June 2018, there were 6017 learners in 560 centers with 544 instructors. Non-formal education was awarded the UNESCO International Literacy Prize in 2009 and 2012.The activities conducted by Non Formal and Continuing Education Division (NFECD) in Bhutan to meet the diverse learning needs of the learners are Non Formal Education classes to provide functional and numeracy skills to those who couldn't continue their formal learning, Continuing Education programme to provide an opportunity to the school leavers to upgrade the qualification and to promote lifelong learning and Community learning Centers to conduct several lifelong learning activities based on education, entrepreneurial skills for improving the quality of life and community development. According to various researches, getting involved in the NFE programme improves the quality of life of the learners [16]. The well-being of an individual is important and it can be achieved through Non-formal education which especially helps the women. Though Non-formal education has been a successful programme in Bhutan which has benefited most of the rural women who could not continue their formal schooling, however over the years the general belief of Non-formal education is, it is maintaining the poor

members to prepare for low level of employment. Thus the programme related to Non-formal education such as vocational, agricultural education and adult programme are generally considered as inferior to the formal education. Additionally, the lack of access to good jobs after Non-formal education has made it inferior. There have been no systematic and continuous efforts done to assess the effects of Non-formal education on the quality of life of women. Though the demand for the basic literacy courses has continued to grow, studies has not been undertaken to find the effect of Non-formal education especially on quality of life of women. Therefore, this study focused to get the insight of the level and effectiveness of Non-formal education in changing the quality of life of women. It is for the policy makers in the Ministry to evaluate and plan courses that would best suit the need of the learners and develop effective and operative Non-formal education centers in Tashichholing Dungkhag, Samtse Bhutan.

1.1 Research Objectives

A. To study the level of Quality of Non-formal Education and Quality of life of women in Tashichholing Dungkhag.
B. To explore the relationship between Quality Non- formal Education and Quality of life of women in Tashichholing Dungkhag.
C. To investigate the effects of Quality Non- formal Education and Quality of life of women in Tashichholing Dungkhag.

1.2 Conceptual Framework

Quality of NFE
- Quality of teaching methods
- Quality of learning materials
- Quality of Curriculum
- Quality of Evaluation

Quality of Life
-Physical well-being
-Social relations
-Personal developments
-Financial and job security
-Relationship in family
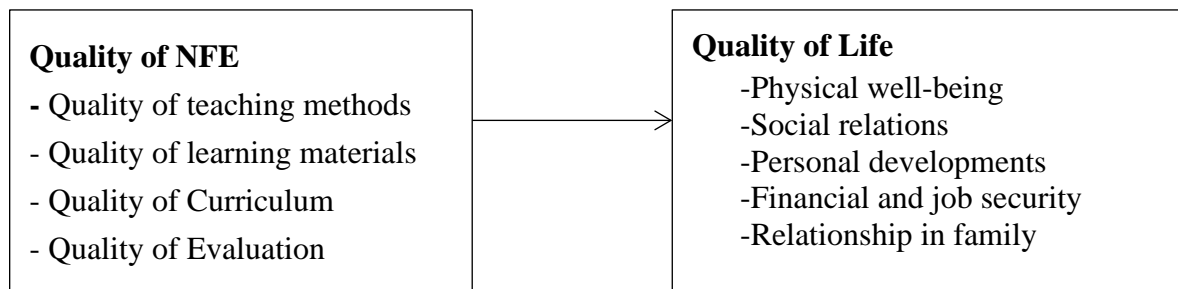
Fig.1.1 Conceptual framework

2. Literature Review

2.1 Quality of Non-Formal Education

The main goal of Non-formal education is to prepare the learners with basic knowledge like life skills, suitable innovations, important information and to motivate them to be able to use all these to improve their quality of life such as supporting the family, enhancing the environment and the use of natural resources and working for the improvements of the community [27].

The use of variety of teaching methods is very important in order to make the lesson intriguing for better learning. A noble teaching method helps in motivation of the students to question their preconception to learn [4]. According to the study conducted by Danaei et al. [7] it was found that combination of various teaching methods together leads to more effective learning than the one teaching method. Learning materials refers to the resources teacher uses to deliver the instruction. Teaching materials in teaching are important for the success of achievement of the students as it can support student learning. One of the most important instruments of teaching and learning activities is the use of learning materials which helps the learners to learn and retain the information for longer time. Learning materials like text books are the immediate references of knowledge skill and values which must be adequate and timely supplied for the effective learning [17]. A good quality curriculum should be inclusive, irrespective of the ability, ethnicity, cultural background, gender, socio economic factors or geographical locations to reach the individual learners to develop their capacities and potential [25]. Curriculum is the soul of any education system. It is also the most essential tool for providing the learners with experience, knowledge and skills which are needed for delivery in community services. According to Suulola [26], evaluation is defined as the process that critically examines a programme. It involves collecting and analyzing information about a program's activities, characteristics and outcomes. Its purpose is to make judgments about a program, to improve its effectiveness and to inform programming decisions [26]. Quality of evaluation is the process of examining and passing a judgment on the appropriateness or level of quality. Student assessment is important to measure student learning. Assessment is considered as a fundamental part of the teaching–learning process. The mode of assessment is necessary in the assessment of student learning outcomes for every level of schooling [17].

2.2 Quality of life

World Health Organization defines Quality of life as "an individual's perception of their position in life in the context of the culture and value systems in which they live and in relation to their goals, expectations, standards and concern" WHO [33]. Quality of life is essential and anticipated to all the people despite it being subjective. Quality of life has been recognized as a vital and important concept for people of all ages. The concept of quality of life arises from an interaction of several variables like child, environment, family and school in the children [23]. The American Association of Nurse Anesthetist defines physical wellbeing as "The life style behavior choices you make to ensure health, avoid preventable diseases and conditions, and live in a balanced state of body, mind and spirit" c [21].

Improvement in the physical well-being helps to prevent many diseases and also boost

emotional well-being. Social relationship is defined as social relation that is made of contact bond among individuals, relatives, friends and neighbors which is built on trust [2]. Similar study conducted by Dorji et al. [9] found that there is an affirmative influence of social relations on quality of life which has been well researched internationally. Family with higher level of social connectedness and good relationship with the children had better quality of life. According to Sehba [24] personal development is the method to help an individual refine the existing personality and improve the lacking traits in their personality which helps a person in achieving the objective of life. The study done by Vezne et al. [32] found that the contribution of Non-formal education to the learner's personal development is that the learners became better person with the gain in their self-confidence. The learners gained new experiences and methods and improved their communication skills as the learners collaborate and share experiences. Schools and Non-formal education are the main social contexts which are important for the adolescent development and wellbeing. These educational setting has different features to adolescents' adaptive development [14]. Job security is defined by [15] as an assurance in the employee's job continuity due to general economic conditions in the country [15]. It has been identified that a lack of job security is not beneficial to worker well-being, as unemployment produces lesser earnings. According to the study on Non-formal education as an opportunity, mechanism and tool for decreasing the unemployment in the Republic of Macedonia by Abdullai et al. [1] it was concluded that a good employment was created by NFE. A family relationship can be defined as any combination of filiation or conjugal relationships that join two people. According to the study done by Bhatia [3] the findings showed that emotional intelligence of the adolescents was greatly influenced by the healthy family relationship. Having a good communication, sharing a feeling of togetherness, spending time with each other, supporting its members, show resilient and focus on every members well-being are some of the common features seen in a strong family [5].

2.3 Related Researches

The study done by Uysalli and Doga [31] showed that with the empowerment of Non-formal education on women, the women gains self-confidence and increases their communication skills since women are able to express about their own ideas as they have gained self-confidence and find their own identity. Similarly, the study done by Nath et al. [20] showed that the education of rural women had an important role in the social progress where education will be used as an agent of basic change in the status of rural women. He also supports that the most important element is to ensure the attention to the needs of rural women, rights and requirements through raising their health awareness, education and their contributions in their society which can be achieved through NFE.

3. Research Methodology

This study was carried out using quantitative approaches with descriptive survey design. The aspects of Quality of Non-formal education; quality of teaching methods, quality of learning materials, quality of curriculum [8] and quality of evaluation [19] were the independent variable. The aspects of Quality of life like physical well-being [22], social relation, personal development, financial and job security [11] and relationship in family [3] were dependent variables used in the study. The population of 130 women attending Non formal education classes in the academic year 2019 in 14 Non- formal education centers in Tashichholing Dungkhag was employed in this study. The researcher developed and modified the questionnaire for the study. For the quantitative data analysis, the statistical package was used to analyze the data. The data were analyzed using descriptive statistics, Pearson's Correlation and Step-wise Multiple Regression Analysis.

4. Data Analysis and Results

The descriptive statistics of Quality of Non formal education and quality of life were analyzed using mean and standard deviation. The significance of relationship between Quality of Non formal education and quality of life was analyzed using Pearson's correlation. The effective or predictive factor of Quality of Non formal education was analyzed using stepwise multiple regression analysis.

4.1 The Level of Quality of Non Formal Education and Quality of life of women in Tashichholing Dungkhag, Samtse Bhutan.

Table 1 Overall Level of Quality of Non Formal Education (N=130)

No	Quality of Non-Formal Education	Mean	SD	Level
1	Quality of Teaching Method	4.62	0.47	Highest
2	Quality of Learning Materials	4.25	0.82	Highest
3	Quality of Curriculum	4.57	0.47	Highest
4	Quality of Evaluation	4.68	0.48	Highest
	Total	4.53	0.56	Highest

Note: 1.00-1.80=Lowest, 1.81-2.60=Low, 2.61-3.40=Moderate, 3.41-4.20=High, 4.21-5.00=Highest

Table 4.1 showed the overall level of Quality of Non Formal Education in Tashichholing Dungkhag in Samtse, Bhutan at the average mean score of 4.53 at the highest level. Amongst all the aspects, the Quality Evaluation had the highest mean score of 4.68 followed by Quality of Teaching Methods with 4.62, Quality of curriculum with 4.57 and Quality Learning Materials with the lowest mean score of 4.25 at the highest level.

Table 2 Overall Level of Quality of life (N=130)

No	Quality of Life of Women in Tashichholing	Mean	SD	Level
1	Physical well being	4.20	0.53	Highest
2	Social relations	4.35	0.87	Highest
3	Physical development	4.25	0.53	Highest
4	Financial and job security	3.98	0.57	High
5	Relationship in Family	4.44	0.55	Highest
	Total	4.04	0.61	High

Note: 1.00-1.80=Lowest, 1.81-2.60=Low, 2.61-3.40=Moderate, 3.41-4.20=High, 4.21-5.00=Highest

From the result in table 2, the overall level of the Quality of life of women was at the high level with the average mean score of 4.04. When considering each aspect, the highest mean score was 4.44 with the aspect of Relationship in Family, Social relations with 4.35 ,physical development at 4.25 ,Physical well-being with mean score of 4.20 at the highest level and the lowest mean score of 3.98 with the aspect of "Financial and job security" at the high level.

4.2 The relationship between Quality of Non Formal Education and Quality of life of women in Tashichholing Dungkhag, Samtse Bhutan was analyzed using Pearson's Correlation.

Table 3 Correlation of Quality of Non-Formal Education and Quality of life (N=130)

Research Variables	QTM	QLM	QC	QE	NFE	QoL
Quality Teaching Method(QTM)	1					
Quality Learning Materials(QLM)	.488**	1				
Quality Curriculum(QC)	.754**	.472**	1			
Quality of Evaluation(QE)	.756**	.434**	.786**	1		
Non-Formal Education(NFE)	.825**	.779**	.835**	.816**	1	
Quality of life(QoL)	.587**	.510**	.562**	.549**	.633**	1

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

The findings in table 3 proved that the there was a positive correlations between Quality of Non formal education and Quality of life at r = .633(p<.01). The correlation between Quality of Non formal education and Quality of life ranged from r = .510 to r = .587 at p<.01as perceived by the women learners of Non-formal education centers of Tashichholing Dungkhag, Samtse Bhutan.

4.3 The effective factors of Quality of Non formal education on Quality of life of women in Tashichholing Dungkhag.

Table 4 Effective Factors of Quality of Non- formal education on Quality of life of women

Independent Variables	β	t	R	R²	F	R² change	F change
Quality of Teaching Method	0.32	2.83	0.59	0.35	67.32	0.35	67.32
Quality of Learning Materials	0.16	3.37	0.64	0.41	44.13	0.06	14.07
Quality of Curriculum	0.23	2.03	0.66	0.43	31.52	0.02	4.13

Constant =1.07

The findings in table 4 revealed that the Quality of teaching method was the first factor selected for the model and had the highest effect on the quality of life (β =0.32) and could predict 35% of Quality of life. The coefficient determination of all three independent variables was R²=0.43. This finding explained that the three independent variables could predict 43% of the Quality of life of women.

5. Discussion

5.1 The Level of Quality of Non-formal education under Tashichholing Dungkhag, Samtse Bhutan.

The study found out that the overall level of Quality of Non formal education was at the average mean score of 4.53 with the highest level. According to the National newspaper, Kuensel [13] it was recorded that 85,078 females out of 113,802 learners are benefitted from Non-formal education programme. The Non formal education programme has impacted the life of those marginalized and illiterate women by reaching the unreached through Basic and Post Literacy courses and Community Learning Centers. It has helped in accelerating adult literacy rate in Bhutan to 66.6% in 2017. The finding of this study showed that the objectives of Non formal education to provide quality literacy and numeracy education, to provide life skills and livelihood skills education and to provide lifelong learning opportunities for those who couldn't attend the school is fulfilled [29].The result of the findings indicated that the overall level of Quality of life as perceived by the women of Tashichholing was at the high level with the average mean score of 4.04. It is in line with the study conducted by Monday et al. [18], that the quality of life is improved with the higher education. The study proved that there was the relation of Quality of life and education at (r =.16; p<.01). According to Dumitrescu [10], Non-formal education is a way of serving the community to be more independent and to respect human rights. The involvement of learners in Non-formal education makes the learners responsible, enthusiastic and also develops personal, social and professional skills.

5.2   The relationship between Quality of Non-Formal Education and the Quality of life of women under Tashichholing Dungkhag, Samtse Bhutan.

The findings proved that there was a positive correlations between Quality of Non –formal education and Quality of life of women under Tashichholing, Samtse Bhutan with statically significance at 0.01 level (r =.633). It is in accordance to the study done by Uysalli and Doga [31], showed that with the empowerment of NFE on women, the women gains self-confidence and increases their communication skills and self-confidence and finds their own identity. Higher educational level is also associated with effective development and utilization of coping and adjustment strategies that positively influence the Quality of life. Therefore, it can further be stated that if the quality of Non-formal education are enriched, there would be improvement of Quality of life of women. Therefore, quality of Non-formal education had the positive influence on the better Quality of life of women.

5.3   Effective factors of Quality of Non-Formal Education under Tashichholing Dungkhag, Samtse Bhutan.

This study revealed the finding that only Quality of Teaching Method, Quality of Learning Materials and Quality of Curriculum could predict the Quality of life of women attending Non formal Education centers under Tashichholing Dungkhag, Samtse Bhutan. The coefficient determination of all three independent variables was R^2=0.43 and could predict 43% of the quality of life of women. This study is in line with the study conducted by Danaei et al. [7], that combination of various teaching method together lead to more effective learning than the one teaching method. The use of informal teaching methods within the classroom curriculum enables the students to speak their concern better and take part in more advantageous learning experience [6]. The Non-formal education instructors under Tashichholing are using the various methods to make the learners understand the concept better. Therefore, Quality of teaching methods can have positive impact on the quality of life of women attending Non-formal education.

6.   Conclusion

The findings of this study concluded that the level of Quality of Non- formal education was at the highest level as perceived by the women of Tashichholing Dungkhag, Samtse Bhutan. All the four dimensions were at the highest level with the mean scores ranging from 4.25 – 4.68.The level of Quality of life of women were at high level with the mean score ranging from 3.98-4.44 except for Financial and Job security which was at high level with the mean score of 3.98.The finding showed that there was significant correlation between Quality of Non-Formal Education and the Quality of life of women under Tashichholing Dungkhag, Samtse Bhutan (r =.633, p<.01). The aspect of Quality of teaching method had the highest positive correlation with Quality of life of women (r =.587, p<.01).The study revealed that the Quality of Non-

Formal Education could predict 43% (R² =0.43) of the variance in Quality of life. Therefore it is evident that the Quality of Non-Formal Education has effect on the Quality of life of women under Tashichholing Dungkhag, Samtse Bhutan.

7. Recommendations

7.1 Recommendations to Ministry of Education

The findings from this study suggest, higher the quality of Non-formal education, higher would be the level of Quality of life of women. Therefore the concerned officials and administrators could expand the quality of Non-formal education in Tashichholing Dungkhag by taking into the consideration the three predictive factors of Non-formal education. This will help those marginalized women who do not have access to formal education and enhance literacy rate in the community and reduce poverty level in the society.

It is suggested that the concerned officials could plan to engage those retired school teachers with attractive incentives to teach the Non-formal education classes so that both the Non- formal education learners and those retired teachers will be benefitted.

The study revealed that poor financial status and lack of job security are the areas of concern for Non-formal education learners who don't have strong source to generate income to support their family. Therefore, it is recommended that the Non-formal education learners must be provided with livelihood skills and each village block must have a Community Learning Center to facilitate such learning which will further improve the quality of life of women.

7.2 Recommendations to the local Government

The findings showed that there is a positive correlation between quality of Non-formal education and Quality of life of women. Therefore the concerned officials should promote awareness and execute advocacy programs on importance of Non-formal education and literacy, must recuperate the Non-formal education Committee to provide every required help to those marginalized illiterate women to get 100% enrollment.

The concerned officials must identify the need of Non-formal education centers in the rural areas to intimate the Ministry of Education for follow up and also take the initiative of inviting the retired civil servants residing in the village to facilitate the conduct of Non-formal education class and share their experiences and ideas to enrich the lives in the community.

7.3 Recommendation for Further Studies

A qualitative research to find out whether qualification of Non-formal education instructors has

effect on the teaching methods in Non-formal education centers could be undertaken.

Similar study could be carried out to find the impact of Non-formal education on the financial status of the learners after the completion of the Non-formal education programme.

A study using both qualitative and quantitative methods and other variables like learning facilities and qualification of the instructors could be undertaken. This study is limited to one sub District under Samtse District so it is suggested to conduct with bigger sample from different region in the country to generalize and validate the conclusion reached in this study. Also comparative study may be conducted at urban and rural Non-formal education centers to find out the effects of Quality of Non-formal education on the Quality of life of women.

8. Acknowledgement

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The Design of Process and Outcome Feedback in Flipped Classroom with Student Engagement for Higher Education

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Abstract

Several classrooms in higher education still rely on a transformative approach to teaching where students attend lectures and earn course grades through examination. Moreover, much has been written in higher education assessing the value of feedback. The paper is shown about the design of process and outcome feedback in flipped classrooms with student engagement for higher education. In the design phase, both of the activities of the process and outcome feedback groups are checked by the teacher. For the process feedback group, they have to do the activities step by step and when they complete one activity, they have to inform that the teacher for getting immediate feedback to continue the next task. On the other hand, outcome feedback group students have to complete all of the tasks listed. And then, they have to inform the teacher and get feedback on the result. For items design have the respondents from three experts who are the professors on educational technology and teaching programming skills in the university in Thailand. The mean in the design of process and outcome feedback in flipped classroom with student engagement is a good result ($\bar{x} = 4.46$, $S.D = .617$) for all items on the lesson plan. Hence, it will be implemented for the true experimental research to explore the different of learning achievement and self-regulation for the higher education students between the PF and OF groups.

Keywords: Process Feedback, Outcome Feedback, Flipped Classroom, Student Engagement.

1. Introduction

According to the new technology nowadays changing digital in the world, today's higher education institutions are tasked with engaging students to be active participants in their learning by promoting higher learning outcomes, motivative learning, and learning strategy. Better access to information technology and digital resources, as well as new communication channels and virtual learning communities, have expanded the meaning of lifelong learning [20][32]. Despite the expansion of technology into the everyday life experiences of students, the traditional lecture-driven classroom prevails as a prominent form of learning on higher education campuses today [6]. Although the traditional classroom lecture format has allowed instructors to actively teach content and disseminate large amounts of information to students over a limited amount of time, the lecture-driven classroom has also adversely influenced in a

negative learning manner by limiting the conversation between instructor and student. Students carefully learn to think within the box and to replicate the thinking of instructors to complete assignments. Student learning furthermore may be uncertain due to learning style and inability to practice the skills students have learned from lectures [9][3][33].

On the other hand, an android application development course is one of the prominent courses in which active learning strategies may be conducted. Since learning of android application is generally difficult including programming structures and syntax, critical thinking, and layout design for user-friendly. Thus, android application instructors work on various approaches in order to make students active engagement in the learning process. Strayer [30] claimed that it is not easy for the teachers to balance presentation and active learning strategies in face to face (F2F) settings. At this point, one such approach gaining popularity in recent years is the flipped classroom model (FCM) or flipped learning. Flipped classrooms increase student-teacher interactions and give teachers more opportunities to provide feedback to students. Such increased opportunities for feedback could improve students' learning because feedback has one of the strongest effect sizes of any instructional practice. This paper focuses on teaching android application via flipped classroom upon student engagement by providing feedback in activities. Thus, in this way, students are more engaged in the subject and the topic particularly. Students' experiences are analyzed through understanding how they act during flipped classrooms upon student engagement in terms of learning achievement and self-regulation. Even though focusing on engagement at a school level [11], drawing on Bloom in 1956, usefully identify three dimensions to student: cognitive engagement, i.e. constructivism, that view the learning process as a step by step knowledge construction process; behavioral engagement, i.e. behaviorism, in which learning is defined as a change of the behavior of a learner by reinforcing some aspect of his/her behavior; and emotional engagement, which learning would experience affective reactions including interest, enjoyment, or a sense of belonging. In the research, feedback definite into two major forms: (1) explanations that are targeting at improving cognitive dimensions of knowledge (e.g. understanding), and (2) guidance that intends influencing a learner's behavior, e.g. engaging in a specific type of activity that is admitted to being related to a successful learning path. As learning is multifaceted these approaches are often combined.

2. Literature Review

2.1 Feedback

Feedback is a form of concept as information provided by an agent (e.g., teacher, peer, book, parent, self, experience) regarding aspects of one's performance or understanding. A teacher or parent can provide corrective information, a peer can provide an alternative strategy, a book can

provide information to clarify ideas, a parent can encourage, and a learner can find the answer to evaluate the correctness of a response. Thus, feedback is a "consequence" of performance. However, when feedback is integrated with more a correctional review, the feedback and instruction become intertwined until "the process itself takes on the forms of new instruction, rather than instructing the student solely about accuracy" [21]. To take on this teaching purpose, feedback needs to provide information specifically relating to the task or process of learning that fills a gap between what is understood and what is aimed to be understood [27], and it can do this in several different ways. These may be through affective processes, for instance, increased effort, motivation, or engagement. Alternatively, the gap may be reduced through many different cognitive processes, including restructuring understandings, confirming to students that they are correct or incorrect, indicating that more information is available or needed, pointing to directions students could pursue, and/or displaying alternative strategies to understand particular information. Winne and Butler [35] provided a superior summary in their claim that "feedback is information with which a learner can confirm, add to, overwrite, tune, or restructure information in mind, whether that information is domain knowledge, metacognitive knowledge, beliefs about self and tasks, or cognitive tactics and strategies".

According to Hattie and Timperley [15], there are four major levels and that the level at which feedback is directed influences its effectiveness. First, feedback can be about a task or product or outcome, such as whether work is correct or incorrect. This level of feedback may contain directions to acquire more, different, or correct information, such as "You need to involve about the Treaty of Versailles." Second, feedback can be pointed at the process used to create a product or complete a task. This kind of feedback is more directly intended at the processing of information, or learning processes requiring understanding or completing the task. For instance, a teacher or peer may say to a learner, "You need to edit this piece of writing by attending to the descriptors you have used so the reader can understand the nuances of your meaning," or "This page may make more sense if you use the strategies we talked about earlier." Third, feedback to students can be focused at the self-regulation level, including very good skills in self-evaluation or confidence to engage further on a task, such as "You already recognize the key components of the opening of an argument. Check to see whether you have included them in your first paragraph." Such feedback can have major influences on self-efficacy, self-regulatory proficiencies, and self- beliefs about students as learners, such that the students are gave supported or informed how to better and more effortlessly continue on the task. Fourth, feedback can be individual in the sense that it is directed to the "self," which, we argue below, is too often unrelated to performance on the task. Examples of such feedback include "You are an outstanding student" and "That's a very smart response, well done".

2.2 Flipped Classroom

Flipped learning suggests students studying through interactive technologies such as watching videos at home online and preparing themselves to apply active learning strategies in the classroom [4][16][26][24]. Students take notes and prepare questions about the topics with the theoretical knowledge of the videos at home. They electronically share their questions with the teacher at home and receive instant feedback in F2F settings [4]. The teacher classifies the questions regarding the qualifications of the students and can prepare for discussions and feedback in the classroom [12]. There are many research studies on FCM that are somewhat different from typical F2F settings such as academic achievement [1][13][34] and the attitude by [8] and [26]. Some other studies analyzed students' perceptions, motivations, and self-efficacies [10].

2.3 Student Engagement

In everyday class management, an educator usually plans the best strategy to engage the students with the content. Engagement refers to the extent of a student's active involvement in a learning activity as stated in Wellborn's study (as cited by [28]). Students' engagement is a strong forecaster of students' learning, achievement, and academic progress by [17] therefore it is important to assess the engagement of students in the class persistently. There are three kinds of engagements such as behavioral engagement, cognitive engagement, and emotional engagement.

For behavioral engagement is the extent to which a student shows and sustains attention to the task, making a strong attempt towards the learning activity [5]. Student's absorption and on-task focus can be translated into Attention. With effort, students contribute a full measure of their abilities on how they are doing, instead of keeping down and simply experiencing the flow. With persistence, students contribute their exertion after some time, even facing troubles and setbacks [23]. In addition to students' satisfaction and achievement, time on task, social and academic integration and teaching practice are related to student behavior [19].

For cognitive engagement refers to how strategically the person tries to process information and to learn in terms of occupying sophisticated rather than depthless learning strategies. Students who cognitively engaged would be invested in their learning, would seek to go beyond the requirements, and would relish a challenge. The study managed by Reeve [25] shows that student willingness to engage was impacted by teacher attitudes and actions. Teachers who questioned using lower-order questions in class did not allow discussion of problem-solving strategies and mental activities [29]. However, according to Chin [7] (as cited in [29]), when teachers questioned using higher-order questions characterized by complexity, students had the opportunity to explain, justify and rationalize with others in the classroom. When questions

were asked, students were cognitively engaged and had the confidence to answer the questions in class [2][23].

For emotional engagement is the extent to which a student shows emotion or effective reaction in doing the task such as interest, enjoyment, or a sense of belonging. An example of the emotionally engaged students is displaying interest and curiosity in the activity. They also study, practice hard and yet they do so because of a passionate environment of interest, excitement, happiness and a feeling of needing to. Disengaged students tend to show task-withdrawing emotions like discomfort or irritation [23]. According to Taylor and Statler [31], there is a communication between emotions and learning: "Less emotion means less learning and more emotion means more learning". This conveys that the student who receives no feedback in class or on discussion boards will not learn through that material post about that particular topic. On the contrary, Newmann, Wehlage, and Lamborn [22] (as cited in Kahu, [19]) suggest that students can still complete their work and learn well without being emotionally engaged in the topic. However, emotional engagement will help students to presume responsibility towards one another, which in turn, will motivate them to complete the task [18]. Class material is one of the components representing student engagement that involves emotion [14].

3. Design Methodology

The design of process and outcome feedback in the flipped classroom with student engagement for higher education is the usage of the concept of process and outcome feedback, and flipped classroom with student engagement for teaching and learning on Android Application Development. The lesson plan will be spent around 6 weeks which is divided into 3 parts such as the 1st-week lesson plan, the 2nd to 5th weeks' lesson plan, and the 6th-week lesson plan. For the 1st week is a traditional classroom which is orientation and provided the basic knowledge concept of tools for the Android learning content through the flipped classroom with student engagement by Moodle of SRRU Learning Management System. For the 6th week is a traditional classroom which is the last week for evaluation the students' learning on Android Application Development contents and their self-regulation. For the 2nd to the 5th weeks are a kind of classroom that is used flipped classroom with student engagement for the content and students' activities through Moodle. After the design has finished, it will be checked by three experts on educational technology and teaching programming skill in the university, Thailand.

3.1 Lesson Plan for the 1st Week – Traditional Classroom

It is used for the 1st week which represents the traditional classroom, so it has only in-class activity. It will be spent around 8 hours which contains the orientation and the lesson about how to use E-learning system for learning in flipped classroom context, how to Adobe XD/ Material

Design to design an interactive interface for developing Apps on Android mobile phone, how to use Git/GitHub for storing in cloud and working collaboratively, and how to create the first Apps in the Android. For the material that is needed in the classroom such as LCD, PPT Lesson on (E-learning System, Adobe XD/ Material Design, Android lesson, Git), Computer, Internet, Application: Git, Adobe XD, and Android Studio. For traditional classrooms, *the activities for the teacher* will present the content of the lesson, answer the question when the students have concerned, demo and let the students practice the exercises, and give feedback to the students. The activities for the students, they have to listen, write, ask a question and practice what they have been taught. For the evaluation, the teacher only observes the students' activities when they practice the exercises and asks the question to evaluate the cognitive of the students.
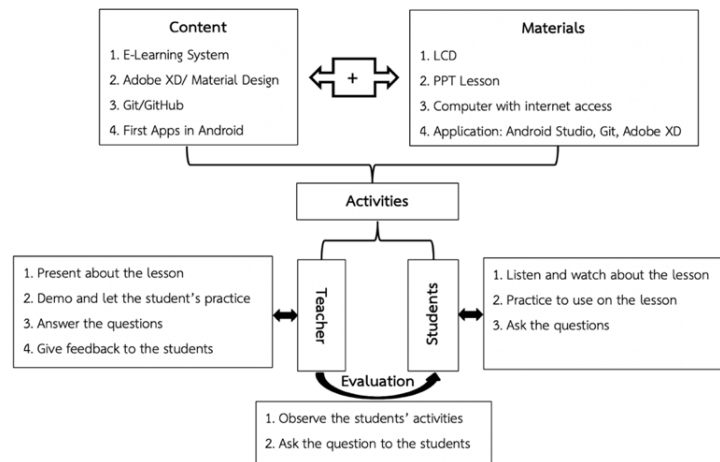
Figure 1: The 1st Week Plan for Traditional Classroom

3.2 Lesson Plan for the 2nd to 5th Weeks – Process and Outcome Feedback in Flipped Classroom and Student Engagement

The 2nd to 5th Weeks Lesson Plan is a kind of process and outcome feedback in flipped classrooms with student engagement. This lesson plan is the combination of Process Feedback (PF) and Outcome Feedback (OF), flipped classroom which is composed of in-class and out-class activities and student engagement which is composed of Behavioral Engagement (BE), Cognitive Engagement (CE), and Emotional Engagement (EE). There are many contents of Android Application Development such as Activity and Intent, UI Component, Menu and Dialog, Adapter and Fragment, Data Storage and Publish App. For the material that needs in the classroom such as LCD, Moodle for Android application development course, Computer, Internet, Application: Git, Android Studio.

The activities out of the classroom: For BE, the students from both groups have to read and watch the resource materials which are provided in the Lesson Section for each week. For CE, the students in the PF group have to do the activities on the Moodle with the Lesson Section

which have listed, one by one and inform the teacher when they have completed the step one and wait for the feedback on the step one to continue for the next task. The teacher has to do in the PF group by checking the students' work on the Moodle with the Lesson Section step by step in the order of activities that have listed, and give feedback in every step when the students inform, they have done the step one. In contrast, the students in the OF group have to do all of the activities on the Moodle in Lesson Section, and then inform the teacher for checking and giving the feedback on the work for improving the learning process. The teacher has to check the students' work on the Moodle with the Lesson Section when the students have completed all tasks. Then, the teacher gives feedback when the students completed all the assigned tasks. For EE, the students from both groups have to give feedback on the activities that they have learned out-class.

The activities in the classroom, it spends around 2 hours in classroom activities for every week. For CE, the teacher has to check the students' understanding of the Lesson by asking question to the students from both groups, they have to answer to the question which the teacher asked. For BE, the teacher let the students practice the example of the content section. For the students in the PF group, they have to do the example of Content Lesson as the following Step3: Design interface, Step4: Coding, and Step5: Debugging and Testing. When they have finished one step, they have to inform the teacher and wait for getting feedback after the teacher already checked and they can continue the next step. For the teacher in the PF group, he/she has checked the student's activities step by step and given feedback in step by step when the students have done the task one step, they will inform back to the teacher. In contrast, the student in OF group has to do the example of content lesson when completed on the debugging and testing. Then, they have to inform the teacher to check and get feedback on the result of their task. The teacher in this group, he/she has to check the result with the student when they are debugging and testing the example of content section and give the feedback for the students to improve their learning. For EE, the students from both groups have to give feedback on the activities that they have learned in class.
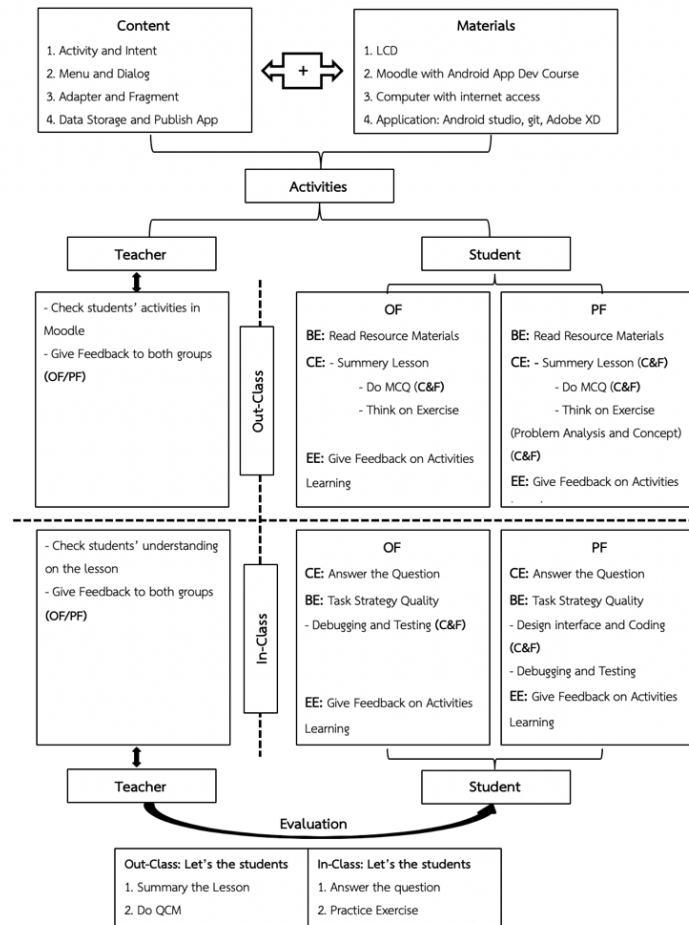
Figure 2: The 2nd to 5th Week Plan for Process and Outcome Feedback in Flipped Classroom and Student Engagement

3.3 Lesson Plan the 6ᵗʰ Week – Traditional Classroom

The 6ᵗʰ week is the week that is used to measure the learning achievement and self-report of the students who completely participated in the coursework for 5 weeks ago and it will be used as a traditional classroom, so it has in-class activity. In this context, it will be spent around for 4 hours on Saturday to do the final MCQ test and final App (Note App) on Android Content and questionnaire on self-report (MSQL). For the material that is needed in the classroom such as Online MCQ test on Android Content, Online Questionnaire MSQL(Self-report), Computer, Internet, Application: Git, Android Studio.

Final MCQ Test: It is used to test the understanding of the knowledge for all the lessons in the Android Application Development Course such as background in android, activity, intent, UI components, menu, dialog, adapter and widget, fragment, and data storage. The exam activities take place in the classroom, for teachers have to observe the students do the MCQ test and the students have to do the MCQ test around 30 items quietly and force on individually works for 1 hour.

Final App (Note App): It is used to examine the students how can apply the knowledge to create an application that uses Activity, Intent, UI components, Menu, Dialog, Adapter & Widget, Fragment, and Data Storage. The exam activities take place in the classroom, for teachers have to observe the students do the final App and for the students to have to do the final App for 2 hours.

MSQL (Self-report): It is used to measure motivation and a learning strategy of the students in the course for 1 hour.
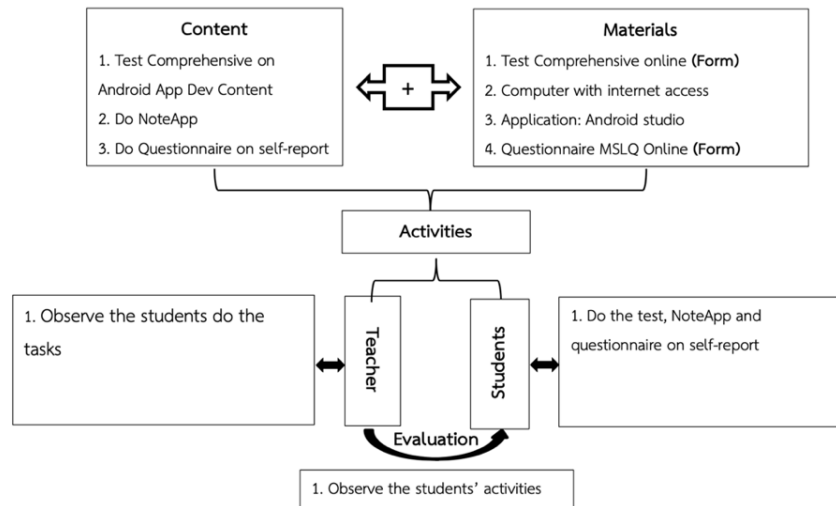
Figure 3: The 6th Week Plan for Traditional Classroom

4. The Result Quality of Design

The lesson plan for process and outcome feedback in flipped classroom with student engagement for higher education on Android Application Development Course. The quality of this plan was assessed by three experts on educational technology and Teaching programming fields. Use the scale rating point which Extremely Good: 5, Good: 4, Fairly: 3, Poor: 2, and Very Poor: 1 to evaluation the items of the lesson plan design.

Criteria for interpreting the results of the analysis of items of the lesson plan are Mean ($\overline{x}$) as follows: 0.00–1.50: Very Poor, 1.51–2.50: Poor, 2.51 – 3.50: Fairly, 3.51 – 4.50: Good, and 4.50 – 5.00: Extremely Good. Accordingly, mean ($\overline{x}$) is applies for the following interpretations: The respondents were asked to answer regarding their views.

Table 1: Expert's Evaluation on the Lesson Plan

Items		Expert 1	2	3	$\bar{x}$	SD	Result
1	The objectives are clearly stated with observable and measurable terms for what students will learn in the lesson.	5	5	4	4.67	.577	Extremely Good
2	The materials are listed, it enough for the students will need in the lesson	4	5	3	4.00	1.000	Good
3	Teacher's activities in the Flipped Classroom and Student Engagement.	5	4	4	4.33	.577	Good
4	Student's activities in the Flipped Classroom and Student Engagement.	5	5	4	4.67	.577	Extremely Good
5	Evaluation: Directly tied to the stated objectives; assessment procedures detailed; multiple strategies included to meet varying student intelligence.	5	5	3	4.33	1.155	Good
6	Closure: Clear, concrete, comprehensive; ties lesson together and sets stage for new learning	5	5	4	4.67	.577	Extremely Good
7	Lesson Plan use the integration of Process feedback and Outcome feedback Concept in the Flipped Classroom with student engagement in the learning context.	4	5	4	4.33	.577	Good
8	Procedure of Lesson Plan: Specific, detailed and organized; all strategies and activities explained and easy to follow; all activities tied to objectives.	5	5	4	4.67	.577	Extremely Good
Total					4.46	.617	Good

According to the Table 1 Experts' Evaluation on the lesson plan which is embedded of process and outcome feedback in flipped classroom with student engagement on Android Application Development Content for Higher Education. The respondents were requested to react to the items by ticking (checking) perception on a scale rating from of 1-5, from 'very poor (1)' to 'extremely good (5)'. The experts' respondent through the descriptive statistic shows the result on the objectives is extremely good ($\bar{x} = 4.67, S.D = .577$), the materials is good ($\bar{x} = 4.00, S.D = 1.000$), the teachers' activities is extremely good ($\bar{x} = 4.33, S.D = .577$), the

students' activities is good($\overline{x} = 4.67, S.D = .577$), the evaluation is good ($\overline{x} = 4.33, S.D = 1.155$), the closure item is extremely good ($\overline{x} = 4.67, S.D = .577$), the lesson plan is extremely good ($\overline{x} = 4.33, S.D = .577$), and the procedure of lesson plan is extremely good ($\overline{x} = 4.47, S.D = .577$). The total items' mean in the lesson plan of the design of process and outcome feedback in flipped classroom with student engagement result is good ($\overline{x} = 4.46, S.D = .617$).

Moreover, there are some recommendation from experts such as: For materials should be more than ppt and website link, so it can be having video for introduction on the lesson around 3 to 5 min and video that help the students for practice. But Some features do not support programming. For evaluation should be more than observe and ask the question to the student, how to test programming skill.

5. Conclusion

This paper has shown how to design the process and outcome feedback in flipped classrooms with student engagement on Android Application Development Course for Higher Education with the evaluation's result by three experts from on the design Lesson plan.

The design lesson plan is the integration of Process Feedback (PF) and Outcome Feedback (OF), flipped classroom which is composed of in-class and out-class activities and student engagement which is composed of Behavioral Engagement (BE), Cognitive Engagement (CE), and Emotional Engagement (EE). The teacher activities in the classroom are: check the students' task and give the feedback to the students' base on the group (PF and OF), monitor the classroom both in-class and out-class, and ensure the students actively engaged in the classroom activities. The students' activities have to work as a type of group PF or OF as designed. The PF group has to do the activities step by step and when they complete one activity, they have to inform that the teacher for getting immediate feedback for continuing the next task. On the other hand, group students have to complete all of the tasks listed. And then, they have to inform the teacher and get feedback about the result. As a result, three experts are checking the lesson plan which is a good result of mean ($\overline{x} = 4.46, S.D = .617$) among all items. In addition, there are some recommendations from experts on the material and the evaluation items.

The result has found positive supported for the design of process and outcome feedback in flipped classrooms with student engagement on the Android Application Development Couse. Hence, it will be implemented for the true experimental research to explore the different of learning achievement and self-regulation of the higher education students between the PF and OF groups. It takes time 6 weeks which 2 weeks as a traditional classroom and other 4 weeks as a classroom of the integration of process feedback (process or step of student's task result) and outcome feedback (the result or outcome of the student task) in flipped classroom with

student engagement.

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Relationship Among School Instructional Leadership, School Management, and Teacher Competency in the Schools of Gasa District of Northern Bhutan.

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Abstract

The purposes of this study were to determine the level of school instructional leadership, school management and teacher competency; and to study the relationship among school instructional leadership, school management and teacher competency in the schools of Gasa district of northern Bhutan. The study employed both quantitative and qualitative methods. Quantitative data were collected using a survey questionnaire. The sample was 70 teachers from six different schools who responded positively. Qualitative data were collected by conducting semi-structured interviews with six teachers, four teachers from one of the high schools and other two teachers from one of the primary schools. Descriptive statistical analysis and Pearson's product-moment correlation coefficient were employed in analyzing the quantitative data. Content analysis was applied to analyze the interviewed data. The overall findings revealed that the school instructional leadership was rated at a high level with a mean score of 3.89; school management level was perceived at high with a mean score of 4.08; and teacher competency level was also demonstrated high with a mean score of 4.17. It was indicated that there was a statistically significant and strong positive correlation at the 0.01 level (2-tailed) among the school instructional leadership, school management, and teacher competency in the schools of Gasa district of northern Bhutan (r=0.807, 0.758 & 0.816) respectively. Based on the findings, it is recommended that concerned authorities and organization levels such as Ministry of Education, District Education Officers including principals think out of the box to ensure further provision of enriching professional growth and development programs to widen the horizon of teachers' competency level. This will enable teachers accessible to new knowledge of teaching skills, pedagogical knowledge, instructional leadership skills, management skills which ultimately benefits self-development, and students' learning.

Keywords: School instructional leadership, School management, Teacher competency, Gasa district.

1. Introduction

Education plays a very fundamental role in the developmental aspects of mankind in society. With the rapid changing of the globalization, Bhutan no more remained aloof herself from self-imposed isolation, backward medieval old-fashioned world in terms of accessing to modern education. The early 1960s advent of modern education came into existence in Bhutan, the impressive pie of modern developments has taken its share by astronomically huge and paradigms shifts. Sherpa [15], stated that "An access to the quality education will further strengthen the ability to promote basic fundamental rights such as freedom, justice, opportunity, equality and equity in the form of services in the society". Education made lives easier in the form of uplifting social developments, economic developments and established the foundational standard that helps to develop human values and skills for survival.

Also, according to Tobgye [16] mentioned that education is empowerment and a mode of social transformation and is acquired opportunity to liberate oneself from inherited social and economic disadvantages. Therefore, education simply is a powerful instrument of social upliftment. School is a place for preparation and molding of young minds to gain appropriate skills and knowledge in the form of virtue of human values and tradition that brings to a greater social benefits and harmony. Teachers are the main engine behind making the wheel of school machine rotates towards reaching the goal. Thus, principal as the school instructional leader and school management are vitally important to effective school function. One of the ways is to make their subordinates feel connected to them in the friendliest working environment strategically. So, Hallinger and Heck [6], described "Educational leadership makes a difference in the quality of schooling, school development and student learning that makes a better environment to the school population effectively". Therefore, the role of the principal and teachers are essentially central to make school function seamlessly.

Generally, schools in the country were operational smoothly without much issue of the education quality. However, off lately in the recent times, the quality of education in Bhutan became a national concern in which it reached to an extent of discussing in the national assembly. The concerned officials were interviewed by media to ascertain its education quality being compromised because of the opinions that the general public were unsatisfied with the students' performances and although the proper evidence and justification of poor-quality education still lacks. In quest of addressing the burning issue, the Ministry of Education has come out with a set of targets with several indicators to rate the school instructional leaders, teachers and school performance annually. Gasa district in the north of Bhutan, hadn't had the best school performance result although with small numbers of schools in the entire district. This is the right time to study the possible reasons for low ranking performance, the researcher aimed to pursuit the teachers' perception level on school instructional leadership, school

management level and teacher competency level. Further, the relationship among three variables need to study because there lack a comprehensive studies being carried out yet particularly in this district which leads to the absence of statistical investigation and result analysis to authenticate the causes of average performer or in other words, low ranking performer of the entire districts in the country, otherwise, has the advantage to perform better taking the statistic ratio of number of schools in the district when compared to rest of the districts in Bhutan. Therefore, this research aimed to determine the perception level of teachers for school instructional leadership, school management and teacher competency, and also the relationship to understand the current scenario of the whole schools' state of performance in the district.

2. Research Objectives

A. *To study the level of school instructional leadership and school management in the schools of Gasa district of northern Bhutan.*

B. *To study teacher competency level in the schools of Gasa district of northern Bhutan.*

C. *To study the relationship between school instructional leadership, school management and teacher competence in the schools of Gasa district of northern Bhutan.*

3. Research Hypotheses

A. *There is a positive relationship between school instructional leadership and teacher competency in the schools of Gasa district of northern Bhutan.*

B. *There is a positive relationship between school management and teacher competency in the schools of Gasa district of northern Bhutan.*

4. Research Framework

The study was conducted employing both quantitative and qualitative approach. The research framework comprises of the sequencing process from pretest, pretest result analysis, quantitative data collection, semi-structured interview and then finally done with the findings as shown in the figure below.
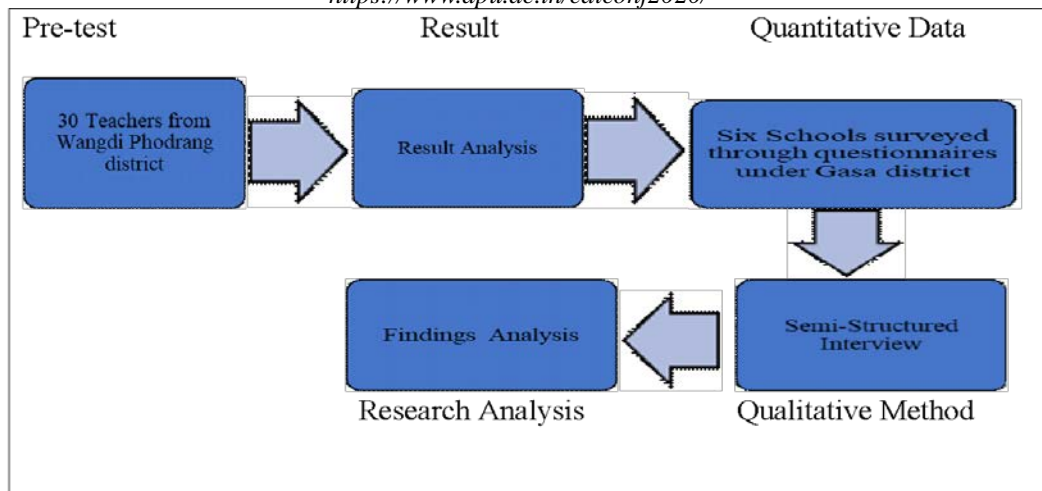
Figure 1-Research Framework

5. Literature Review

5.1 Education System in Bhutan

Modern education began after 1960s in Bhutan and made magnificent progress which brought a lot of changes in the society. The Royal government of Bhutan strongly initiated in providing quality education through the lens of equality, equity and justifying opportunities to all citizens as mentioned Tobgye [16] and Sherpa [15]. A wide range of developments has taken place in terms of socio-economic growth, well-being of the people, poverty alleviation, improved healthcare system and provision of modern free education to all walks of life. The basic lifeline in terms of social, economic, health care, transportation and telecommunication transformation were made possible only due to the introduction of modern education. The credibility of making the far-reaching impacts in the field of education are greatly owed to the third king of Bhutan and Ministry of Education in particular.

The mission does not end up with Ministry of Education alone, and the roles and responsibilities extend to District Education Officer, school level principal and teachers who are critically central towards achieving the educational mission in Bhutan. The performances of principals in schools as school instructional leaders, school management player and the competencies of the teachers are closely connected to each other and is very much vital that they must work in cooperation. The principals in the schools as school instructional leader and school management holds key importance to administer the school following closely with the national policy and guidelines and provide timely required assistance towards working colleagues and subordinates to make enabling welcoming working environment in the schools. Therefore, the importance of examining the relationship among school instructional leadership, school management and teacher competency is strongly felt at this crossroad juncture of the schools' performances of Gasa district in northern Bhutan.

5.2 School Instructional Leadership

The term school instructional leadership is explained in multi-faceted dimensional terms by many scholars and researchers. In the notion of many people, best leaders are not born but made. According to Amanchukwu et al. [1] mentioned that good leaders need to possess experiences, knowledge, commitment, patience, and skills to negotiate and work with others to achieve goals. Good leaders are thus, made and not born. Leadership is directing out the system and helping others to pursuit it. Also, it is promoting the clear aim, supporting values, implementing strategies, sanctioning, and fetching all these matters and interests as claimed by Gill [5]. In addition, Royal Education Council [14] indicated that leaders involve leading teachers and other educational professionals in setting clear goals, managing curriculum, monitoring lessons, allocating resources, evaluating and supporting teachers regularly to promote student learning. Further, according to Bolman and Deal [2] as cited by Sherpa [15], "leadership is situational because the principal in the school has to deal teacher as per the location of the schools, and solving the problem depending on the situation". The researchers have the opinions that leadership have the legitimate authority to effectively transform the institution and lead organization to achieve the vision through shared responsibilities in the form of human capital resources. According to Morrison [11] mentioned that leadership ascends through interactions, connections, relationship, networking, and connectivity. Principal in a school as school instructional leadership can be benefited for both the parties as they need to work hand in hand towards realizing the school goals. Thus, the statement made by Muhammed [12] that principal is the fundamental staff of teachers who are given task to lead a school where the learning process held or where there is interaction between teachers who give lessons and pupils who receive lessons. It is therefore, school instructional leadership play key role to achieve the best result in the school comprising the framing of school goals, communicate the school goals, supervise & evaluate instruction, coordinate the curriculum, monitor student progress and promote professional development of the teachers.

5.3 School Management

The school management holds significant key role to achieve school mission and vision. School management basically is about the process of proper planning, skillful handling, proper managing, proper motivating and directing, careful budgeting and controlling undertaken by the most capable individuals who are appointed as principals.

The Ministry of Education [10] mentioned that the responsibility for the administration of education in Bhutan is shared among the ministry of education, royal education council, Bhutan council for school examination & assessment, ministry of labor and human resources, tertiary education institutes, dzongkhags, thromdes, gewogs and schools.

Therefore, the principal as school management key person needs to have the talents and skills to deal with the school situation in terms of execution of roles and responsibilities in close collaboration with the teaching faculty, supporting staff and students. The school management's effective initiation of diverse management programs in the schools encouraged to teachers' motivation and ultimately benefited the competency enhancement, especially through the provision of professional growth and development programs.

5.4 Teacher Competency

Teacher competency is the ability of the teachers in a number of instructional strategies for teaching and learning process. Cilic et al. [3] mentioned that competence is a combination of knowledge, skills, attitudes, motivation and personal characteristics enabling individuals to act actively and efficiently in a certain specific situation. It was also backed by Kulshrestha and Pandey [9] that competence is usually associated with highly professional performance and there is a direct link in the field of education between a teacher's professional competence and pupil performance. Teachers need to be confidently competent person to teach students with a variety of knowledge and skills and even beyond it. This is exactly as what Nessipbayeva [13] defined a competency is more than just knowledge and skills; it is essential to an educator's pursuit of excellence and teachers need a wide range of competencies in order to face the complexity of challenges of today's world.

Teachers are the role models to their students and they must lead by example and to live up to the expectations of principals, students and the society at large, teachers must possess certain qualities of teachers' professional attributes. Teachers need to be very actively engaged in every school function displaying their characters of accessibility, approachability, fair and just, open-mindedness, enthusiastic, passionate, knowledgeable, humbleness and inspiring to others.

Thus, school instructional leadership and school management are held responsible to provide timely required support and help to enable teachers to become competent through the provision of specific personal and professional growth and development programs, that will make teachers collaborative in schools for all activities to make balanced and constructive end result, committed in their teaching to achieve high expectations, effective communicator in the classroom as a model to students, ethical teacher in school where everyone respect, innovative teacher to be creative in teaching the 21st century classrooms with the change of time and globalization, inclusive teacher to provide equal treatment and opportunities to students' learning, positive teacher to be kind, gentle and more resilient in their daily teaching, reflective to the ideas to create more self-awareness and best articulated teacher.

6. Research Methodology

6.1 Research Design

The research study was carried out on the relationship among school instructional leadership, school management and teacher competency in the schools of Gasa district of northern Bhutan. This study was carried out using both qualitative and quantitative approaches

6.2 Population and Key Informant

The population in this study for quantitative method, there were 70 teachers from Gasa district as the district have only six schools and the researcher conducted the semi-structured interview for 6 competent teachers for qualitative method. These six teachers were selected based on the criteria of seniority in the schools who served more than five years, considering English subject major in their specialization and also who had won some recognition from the government for their excellent performances in the teaching field.

6.3 Research Instruments

The instruments for quantitative method were the survey questionnaires. For the School Instructional Leadership, the researcher adopted the PIMRS questionnaires of Hallinger and Murphy [7]; HEADLAMP by Knight [8] for school management practices and eight professional qualities of teacher by Kulshrestha and Pandey [9]. The semi-structured interview guideline was developed and used for the interview in qualitative method of research.

6.4 Quality of Research Instruments

Validity of the questions was ensured through a detailed scrutiny by three experts for Item-Object Congruence (IOC) to check the items are in line with the study objectives. The level of the criteria of the items was set at 0.5 and were used the items as each variable has the IOC ranges between 0.66 to 1.00.

The reliability of the questionnaire was pre-tested 30 teachers from Wangdi Phodrang district excluding Gasa district before the actual data collection happen to ensure the instruments reliability. The reliability of the test of questionnaire was done applying Cronbach's Alpha Coefficient [4]. The questions were accepted as Cronbach's alpha coefficient measures all above 0.9, which shows the reliability was excellent. After the pilot testing of the questionnaire, the necessary changes, thorough revisions and improvements were carried out.

7. Data Collection

The study was conducted in the month of October 2019 for the duration of 30 days. The researcher sought due permissions from concerned authorities and followed the procedures

strictly as advised, and also firmly adhered the research ethics. The study was conducted employing both quantitative and qualitative research. The quantitative data were gathered through survey questionnaires following both pre-test and post-test, and the semi-structured interview was conducted to examine the teachers' perception on both independent variable(s) and dependent variable.

8. Data Analysis

The researcher analyzed the data through statistical analysis by using computer program as follows:

8.1 The background information of the respondents was analyzed using frequency and percentage.

8.2 The teacher competency level of teacher was analyzed using mean and standard deviation.

8.3 Pearson's product moment correlation coefficient was employed to examine the relationship between the school instructional leadership, school management and the teacher competency.

8.4 The data from the semi-structured interview on roles and responsibilities of school instructional leadership and management and teacher competency level were analyzed using content analysis.

9. Research Findings

9.1 School Instructional Leadership Level

The total average mean score of school instructional leadership was 3.89 at high level. There were six dimensions of school instructional leadership perception rating area and among them the "communicate the school goals" has the highest mean score of 4.13 and with lowest mean score of 3.40 in promoting professional development area rated as moderate which clearly indicates that the teachers' general perception of school instructional leadership's role has minimum impact towards promoting the teachers' professional development aspects.

School Principal as the school instructional leadership has huge responsibility towards realizing the school mission such as establishing school goals, communicating the school goals to the teachers and implementing and coordinating the school curriculum based on the latest educational trends of the world. The role of the school instructional leadership is so instrumental towards supervising and evaluating instruction in the classroom, monitoring student progress by adopting the viable methods and promoting the professional growth and development of the teachers. Thus, school instructional leadership proportionately affects towards teacher competency building and the academic performances of the students in the school.

9.2 *School Management Level*

The total average mean score of school management was 4.08 at high level. Two of the measurement areas were highest and three in high level. Among the five-measurement category General Management and Academic Management has the highest mean score of 4.24 and 4.22 respectively. Out of five categories, the Community Relation Management has the lowest mean score of 3.86, even though the level of school management indicates high.

School management has a critical role to enhance the competency level of the staff within their jurisdiction. The school managers need to have the strategies and management skills towards honing the competency level of the teachers academically and non-academic as well. Thus, poor management skills and lack of strategies of the managers will directly replicates to the output in terms of school function.

9.3 *Teacher Competency Level*

The overall teacher competency was at high level with an average mean score of 4.17. Three of the professional qualities function for teacher competency were highest and five were in high level of the mean score. Among the eight professional qualities of the teacher competency, positive qualities of professional teachers were the highest mean score of 4.22. Out of eight professional qualities, Reflective area has the lowest mean score of 4.08, even though the level of the teacher competency clearly indicates on high level.

The competency of teachers is the asset to their own profession and to many students. On the other hand, incompetent teachers might help physical attendance in counting heads as human capital in the schools but it will have lesser impact made on imparting quality education to the learners. Teacher competency level although ought not to be directly jumped to conclusion based on only eight areas, however, according to the current study, eight areas were identified to make analysis of the competency levels of the teachers in the schools of gasa district which found to be statistically high. Therefore, the enhancement of teacher competency level is so critical to prove competent teachers produces competent students.

9.4 *Relationship among School Instructional Leadership, School Management and Teacher Competency in the Schools of Gasa District of Northern Bhutan.*

The Pearson product-moment correlation coefficient (PPMCC) was conducted to determine the overall relationships among the three variables, viz School Instructional Leadership, School Management and Teacher Competency in the schools of Gasa district of northern Bhutan. The significant level was set at p=.05. The correlation among three variables is shown in table 1 below.

Table 1.shows relationship among three variables (SIL, SM & TC)

Research Variables	SIL	SM	TC
School Instructional Leadership (SIL)	1		
School Management (SM)	.807**	1	
Teacher Competency (TC)	.758**	.816**	1
**. Correlation is significant at the 0.01 level (2-tailed).			

Table 1. indicated that there was statistically significant and a strong positive correlation at the 0.01 level (2-tailed) among the school instructional leadership, school management and teacher competency in the schools of Gasa district of northern Bhutan (r=0.807, 0.758 & 0.816) respectively.

According to the findings as shown in the above table, there exist high prevalence of significant relationship among school instructional leadership, school management and teacher competency which indicates that better correlated parties brings better school performances, however, it didn't justify the requirement of national assessment called Performance Ranking System (PMS) where the schools under Gasa district hardly brings significant achievement results. Therefore, based on the analysis findings, the researcher concluded that there are several other indicators of PMS which has overlapped academic performance criterion, and the ranking system has not done purely based on school academic results.

10. Research Hypotheses

Based on the Pearson's product moment correlation coefficient, statistically revealed that there was a strong correlation between the school instructional leadership and teacher competency, and between the school management and teacher competency as well. Thus, the hypotheses results were proven positive and was statistically accepted.

11. Content Analysis

In the conclusion drawn from the interview from six confident teachers on three different aspects like school instructional leadership, school management and teacher competency in the schools of Gasa district of northern Bhutan was very positive. All the teachers expressed that similar views on most of the questions but little in different ways. Their perceptions were very positive, encouraging and suggestive ones which will benefit at large.   For school instructional leadership, it was found that both the teacher respondents were of the similar views that principal letting know all the teachers about school goals through the general meetings and extends the support in every possible way. It was evident from both of the teacher informants that principal ensures the school goals are established, communicated, necessary teacher

professional developments supports were given, provides available resources and overall school functions smoothly in line with the national education policies and guidelines.

School management played pivotal roles in the school and their management level was up to their expectations as per their perceptions of the teacher informants. School management had been doing well in providing full support for teachers being a role model and lead by example. The school management had been friendly to all teachers and students, resourceful and carried out timely assessments. Moreover, school management solves disciplinary problems tactfully and most of the programs were focused on life skills education and GNH values oriented. It was interesting to note that despite all those areas were found to be highly correlated and positive in daily functioning of schools but however, the overall performance of the schools in national level remains a big challenge.

Both the teacher informants were of the similar views that enhancing teacher competency is yet another big challenge but if things are done through proper self-realization, reflection and go beyond dependency on the school management then is not a big issue. They have mentioned that professional development programs are being conducted by the school, district and national level but is also important to get upgraded teachers themselves through media as the world is now digitized. Making reading habit was very interesting suggestion that one of the teachers felt is important and must be put into practice.

12. Conclusion

This research was aimed to find the relationship among school instructional leadership, school management and teacher competency in the schools of Gasa district of northern Bhutan, as perceived by the teachers and to explore the level of all the research variables as well. The current study was conducted employing the multi-methods of quantitative and qualitative taking the whole population of the different schools' teachers for this study. The researcher employed the descriptive statistics such as frequency, percentage, mean and standard deviation to calculate the findings to analyze the general information and to study the perception levels of school instructional leadership, school management and teacher competency. The research participants for the quantitative study were the whole population of six different schools under Gasa district of northern Bhutan and there were 70 teachers in total as per the statistics from the District Education Office, Gasa district of northern Bhutan and they all were considered for the research as the participants. To investigate and confirm the result analysis for the relationship among school instructional leadership, school management and teacher competency, Pearson Correlation coefficient analysis was applied to study the teachers' perceptions in the schools of Gasa district which were found to be statistically positive and significantly high prevalence of relationship among them.

13. Recommendations for Principals and the District Education Officers (DEOs)

The researcher had concluded with the following recommendations based on the findings as follows:

i) Principals must disseminate the information in terms of giving orders through means of formal meetings and must avoid single channel communication.

ii) More PD programs are recommended to enhance teachers' competency levels including principal for management works. (school level HR committee Recommended)

iii) Principals must be ensured proper teacher requisition before the current academic year ends based on subject requirements to avoid teacher shortage.

iv) Management of school budget must be prioritized the expenditures on the need basis after passing through school finance committee. This is to avoid financial shortage and to maintain transparency and accountability.

v) District Education Officers must prepare a plan with comprehensive blueprint to engage teachers for training, workshops and seminars. Effective planning and proposal might help to get timely budget approvals from higher authorities to carry out the activities.

vi) Some of the teachers' living quarters need immediate attention, as it plays a critical role in providing physical well-being of the staff which has indirect effect towards daily work performances in the school.

14. Recommendations for the Ministry of Education.

The researcher has two important recommendations for the Ministry of Education based on the findings from the teacher perceptions in which it was felt important that the qualification for school principals must have a minimum of Master's Degree in relevant field prior to their selection and appointment into the real field. This will not only help to be academically sound but also aid to be capable of handling the school function critically. Further, the allocation of teaching periods for principals in the schools must be ensured to avoid burden with excess teaching periods/substitutions required when principals do not teach in reality.

15. Recommendations for Future Research.

In the process of the current study, the researcher came to realize that the research work can be done in various ways considering other variables and methodologies for the better outcome of the study. Thus, the researcher empathetically would like to make the following points as suggestions for future research:

1. To check the level of performances for school instructional leadership roles,

school management roles and the teacher competency level perception, future researchers should consider and employ other approaches in the study excluding what the current researcher had used. This might help to determine the capacity to each variable level more effectively, although the current study had also shown the high level of result though.

     2. The current study was conducted in the schools of Gasa district of northern Bhutan and populations for the study, however, Gasa district being small district, have only six schools with small numbers of population for the study which might have hampered to get authenticate result determination of the study. Therefore, the future research is recommended in larger number of research participants.

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Influence of Principal' Positive Leadership on Organization Commitment by Teachers in Private Universities in China

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Abstract

The purpose of this study is to explore the relationship among Chinese private university teachers' perceived principals' positive leadership and organizational commitment. In this study was conducted among 303 teachers as samples with a convenient sampling method sampled from 5 private universities in Henan Province. Finally, the conclusions of this study are as follows: The private university teachers' perceived principals' positive leadership has a positive influence on organizational commitment. Female teachers perceive higher sense of positive leadership than male teachers perceive and female teachers have higher organizational commitment than male teachers both in overall situation. The professors have higher perception than that of lecturers in positive atmosphere and positive communication, professors have higher perception than that of the teaching assistant and lecturers in positive bond dimension. Finds that in the dimension of affective commitment and continuance commitment, professors are higher than lecturers.

Keywords: Principals' Positive Leadership, Organizational Commitment, Private University

1. Introduction

In the era of knowledge economy all countries in the world agree that education must be prioritized. With the continuous improvement of requirements for human resources in social development universities are also carrying out various reforms hoping to conform to the development of the times through the adjustment of their own internal and external structures [1]. Cameron [2] points out that positive leadership is based on positive and emphasizes affirmative orientation. Focusing on good virtues is to promote the positive results of individuals and organizations and to achieve an influence of extraordinary high performance. There is little research on Organizational commitment of private colleges and universities in China and it is worthwhile to study the relationship between the principal's positive leadership perceived by teachers in private colleges and universities and the Organizational commitment. Therefore, this study hopes to explore the influence of the principal's positive leadership of private colleges and universities on the organizational commitment through the discussion of the principal's positive leadership which is the first motivation for the research. Exploring the relationship between principals' leadership and Organizational commitment can be analyzed from the teacher's perspective to analyze the principal's leadership behavior and characteristics

and to discover its relationship with Organizational commitment [3]. At present there are 134 colleges and universities in Henan Province of China including 37 private colleges, private colleges and universities account for 27.61% [4], while Henan Province is actively promoting the National Independent Innovation Demonstration Zone, the National Grain Production Core Area, the Central Plains Economic Zone, the Construction of the "Belt and Road" and the Strategic Construction Objectives of the Zhengzhou Airport Comprehensive Experimental Zone. In view of the characteristics of private colleges and universities in Henan Province of China. This study is based on private higher education in Henan Province of China. Therefore, the purpose of this study is to explore the influence of the teachers' perceived principals' positive leadership on the organizational commitment in Chinese private universities.

2. Literature review

2.1 Meaning of the Positive Leadership

Xie [5] believes that positive leadership is a leadership behavior in which the role of the leader can promote the forward transcendence of individuals and organizations. Chen [6] believes that the principal's leadership focuses on the advantages of organizations and individuals communicates with positive thinking shapes positive bonds and atmosphere establishes a positive energy network builds a vision with members to emphasize the improvement of results and stimulate positive energy and contributes to positive transcendence. Cameron [2] elaborates the connotation of positive leadership from four aspects including Positive atmosphere, Positive bond, Positive communication, Positive denotation.

2.2 Related Research on the Principal's Positive Leadership

Regarding the research of the principal's positive leadership the researcher conducts discussion on relevant demographic variables, Zhong (2004) shows that teachers of different genders have significant differences in the perception of principal's positive leadership. Lv' s [7] research shows that teachers who have different title have significant differences in the perception of the principal's positive leadership. In summary, that different genders, title of teachers have different perceptions of the principal's positive leadership [7][8] (Liu, 2015; Zhong, 2004) has not got a consistent conclusion. Therefore, this study will explore whether there are significant differences in teachers who are different in gender, title when perceiving the principle's positive leadership.

2.3 Meaning of Organizational Commitment

Whyte [9] first proposes the concept of organizational commitment emphasizing that people in the organization are not only working for the organization but also the source of organizational creativity the ultimate attribution of member needs. Gouldner (1960) explores all the aspects of

organizational commitment and emphasizes the centripetal and sense of belonging of members within the organization. Zhang [3] emphasizes that teachers agree with the values and beliefs of organizations they are consistent in their attitudes and behaviors. Huang [10] points out that teachers' organizational commitment is a kind of psychological emotion of teachers it is a kind of work attitude of teachers to school and the psychological effect of staying. Jiang (2015) points out that the organizational commitment of private college teachers is the affirmative attitude or psychological tendency of private college teachers to their own schools. It can be divided into three commitments: emotion, persistence and regulation.

2.4 Related Research on Teachers' Organizational Commitment

The researchers conduct relevant discussion on demographic variables. Ma's study [11] shows that there are no significant differences in the organizational commitment factors of different genders and academic qualifications; there are significant differences in the ideal commitment dimension of college teachers with different professional titles, Zhao et al. [12] point out that there are significant differences in the organizational commitment of college teachers of different genders, and the organizational commitment of female teachers are higher than that of male teachers. In summary for teachers with different genders titles of differences in organizational commitment are different there is no consistent conclusion. Therefore this study will explore whether teachers of different genders, titles have significant differences in organizational commitments.

2.5 Relationship Between Teachers' Perceived Principals' positive Leadership and the Teachers' Organizational Commitment

Zuo [13] believes that the principal's leadership style also has a huge impact on the level of teachers' organizational commitment that different leadership styles have different effects on the three aspects of teachers' organizational commitment. Yu and Bai [14] also find that the transformation leadership behavior has a much greater explanatory power for teachers' organizational commitment than the personal characteristic variables of leaders and teachers. Hu and Sun [15] measure the transformation leadership behavior of university principals and find that they can effectively predict teachers' organizational commitment. Li, Wang and Li (2018) point out that school transformation leadership has a significant positive predictive effect on teachers' organizational commitment. Thus research hypothesis is proposed: the principal's positive leadership that the private university teachers perceive has a positive and significant impact on the organizational commitment.

3. Methodology

3.1 Research Framework

Based on the literature review, the study proposes the research framework and hypotheses,

shown in Figure 3.1.
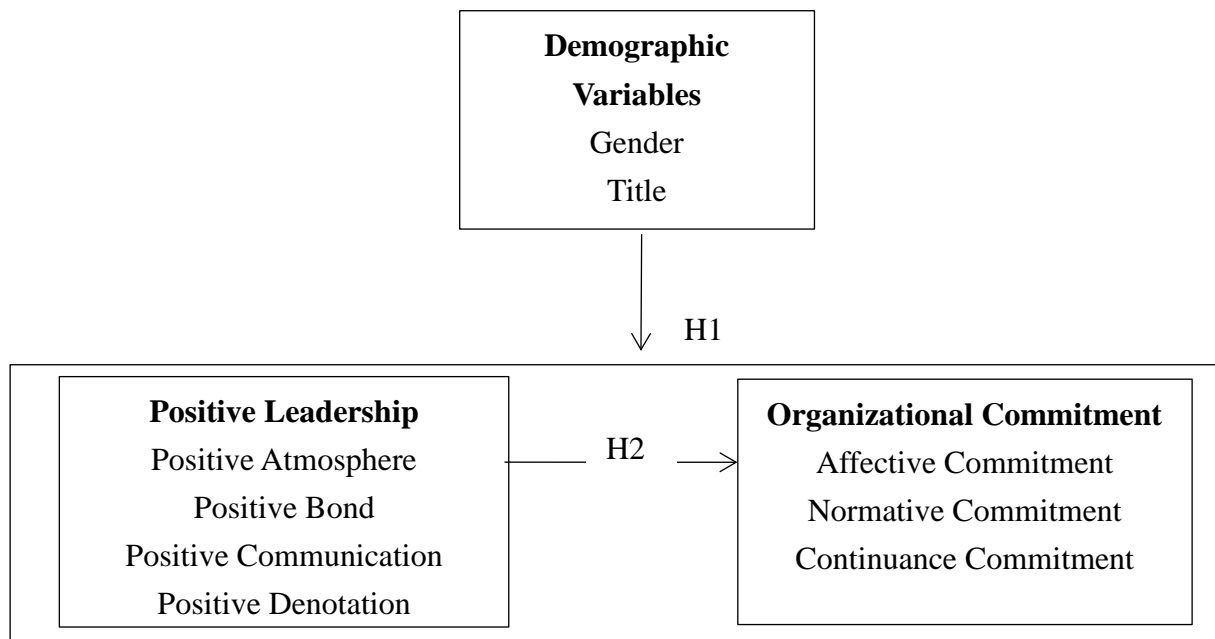
Figure 3.1 Research Framework

3.2 Research Hypotheses

Based on the research objectives, research framework and literature review which are described as follows: H1: Different demographic variables have significant differences in the private college teachers' perceived principal's positive leadership, organizational commitment; H2: The principal's positive leadership that private college teachers perceive has a positive and significant impact on organizational commitment.

3.3 Research Objects and Sample

According to statistics, there are 134 colleges and universities in Henan Province, including 37 private colleges, private colleges and universities account for 27.61% [4]. Therefore, this study selects the teachers of private universities in Henan Province of China as the sample of this study, so that the conclusion of the questionnaire has a high research value. The convenience sampling in non-random sampling is used to send the questionnaires to 5 private universities in the form of online questionnaires. Therefore, it is estimated that 303 teachers as samples will be selected from private universities in Henan Province.

3.4 Research Tools

The Principal's Positive Leadership Scale. This scale refers to Xie's [5] Principal's Positive Leadership Questionnaire. The content includes positive atmosphere, positive bond, positive communication and positive denotation. The scale is scored by using Likert 5-point,

Organizational Commitment Scale. This study refers to the organizational commitment Scale compiled by Meyer and Allen [16]. The content is divided into affective commitment, normative commitment and continuance commitment. The scale uses Likert 5-point to score.

4. Research results

4.1 Summary of the Exploratory Factor Analysis and Reliability Analysis of the Principal's Positive Leadership

The results show that the KMO value of the scale is 0.94, the value of Bartlett's test of sphericity is 5430.46 (p=0.00), which represents fitting the factor analysis. A total of four dimensions are extracted and factor loading of items is within 0.52–0.80, the cumulative total explanatory variation is 87.34%, indicating that the scale has good construction validity in this actual measurement. The Cronbach's α coefficient in each dimension of the scales was within 0.92–0.94. The results also indicate that the scale has good reliability.

4.2 Differential Analysis of the Principal's Leadership Perceived by Teachers in Demographic Variables

A.Gender. The results of t-test analysis show that there is a significant difference in the positive atmosphere (t=-2.51,p<0.00), positive bond (t=-2.48,p<0.00), positive communication (t=-2.51, p<0.00) and positive denotation (t=-1.97, p<0.00) .By comparing the averages, we can see that female teachers perceive higher sense of positive leadership than male teachers perceive, as shown in Table 4.2.1:

Table 4.2.1 *T*-test Summary of the Principal's Positive Leadership Perceived by Teachers of Different Genders

Name of Variables	Male(N=72)		Female(N=224)		*t* value
	M	SD	M	SD	
Positive Atmosphere	4.22	0.93	4.50	0.70	-2.51***
Positive Bond	4.11	1.07	4.43	0.75	-2.48***
Positive Communication	4.25	0.96	4.54	0.60	-2.51***
Positive Denotation	4.44	0.76	4.62	0.56	-1.97***

Note：*p＜0.05; **p＜0.01; ***p＜0.001

B.Professional title. ANOVA Analysis results show that there is a significant difference in the principal's positive leadership perceived by private college teachers of different professional titles. In each dimension, all have significant differences. According to the post-comparison report, the test method in Positive Bond and Positive Communication that is the Scheffe's method , the test method in Positive Atmosphere that is the Tambane's T2 method , as shown in Table 4.2.2:

Table 4.2.2 ANOVA Verification Summary of the Principal's Positive Leadership Perceived by Teachers with Different Professional Titles

Name of Variables	Teaching Assistant (N=103)		Lecturer (N=117)		Associate Professor (N=30)		Professor (N=53)		F	Post hoc Comparison
	M	SD	M	SD	M	SD	M	SD		
Positive Atmosphere	4.43	0.71	4.30	0.82	4.38	0.82	4.71	0.69	3.60***	4>2
Positive Bond	4.36	0.80	4.19	0.92	4.28	0.85	4.72	0.68	4.79***	4>1, 4>2
Positive Communication	4.49	0.70	4.38	0.79	4.42	0.82	4.73	0.67	3.25***	4>2
Positive Denotation	4.58	0.60	4.50	0.56	4.60	0.58	4.69	0.70	1.16***	-

Note: *$p<0.05$; **$p<0.01$; ***$p<0.001$

4.3 Summary of Exploratory Factor Analysis and Reliability Analysis of the Organizational Commitment

The results show that the KMO value of the scale is 0.94, the value of Bartlett's test of sphericity is 3320.91 ($p=0.00$), which represents fitting the factor analysis. A total of three dimensions are extracted and factor loading of items is within 0.67–0.85, the cumulative total explanatory variation is 83.46%, indicating that the scale has good construction validity in this actual measurement. The Cronbach's α coefficient in each dimension of the scales was within 0.90-0.92. The results also indicate that the scale has good reliability.

4.4 Difference Analysis of Teachers' Organizational Commitment in Demographic Variables

A. Gender. The results of t-test analysis show that there is a significant difference in the organizational commitment of teachers of different genders in private colleges and universities the affective commitment of teachers of different genders in private colleges and universities ($t=-2.51$, $p<0.00$), normative commitment ($t=-2.10$, $p<0.00$), continuance commitment ($t=-2.80$, $p<0.00$), all the three dimensions have significant differences. By comparing the averages we can see that female teachers have higher organizational commitment than male teachers both in overall situation and in all dimensions, as shown in Table 4.4.1:

Table 4.1 T-test Summary of Organizational Commitment of Teachers of Different Genders

Name of Variables	Male(N=79)		Female (N=224)		t value
	M	SD	M	SD	
Affective Commitment	4.21	0.96	4.503	0.66	-2.51 ***
Normative Commitment	4.54	0.70	4.72	0.49	-2.10 ***
Continuance Commitment	4.29	0.93	4.60	0.60	-2.80 ***

Note: *$p<0.05$; **$p<0.01$; ***$p<0.001$

B. Professional title. The results of ANOVA analysis show that there are significant differences in affective commitment (F=4.99, p<0.00) and continuance commitment (F=2.79, p<0.00). According to the post-comparison report the test method in Affective Commitment and Continuance Commitment that is the Tambane's T2 method. it is found that teachers' organizational commitment, affective commitment (p=0.00) and continuance commitment (p=0.41), all reach a significant level, test finds that in the dimensions of continuance commitment and affective commitment, professors are higher than lecturers, as shown in Table 4.4.2:

Table 4.4.2 ANOVA Verification Summary of Organizational Commitment of Teachers with Different Professional Titles

Name of Variables	Teaching assistant (N=103)		Lecturer (N=117)		Associate professor (N=30)		Professor (N=53)		F	Post hoc Comparison
	M	SD	M	SD	M	SD	M	SD		
Affective Commitment	4.48	0.67	4.26	0.80	4.38	0.83	4.73	0.69	4.99***	4>2
Normative Commitment	4.62	0.57	4.67	0.50	4.61	0.56	4.79	0.65	1.22***	-
Continuance Commitment	4.52	0.69	4.41	0.80	4.52	0.52	4.75	0.67	2.79***	4>2

Note: *p<0.05; **p<0.01; ***p<0.001

4.5 Summary of Correlation Analysis

Through Pearson correlation coefficient analysis the results show the correlation coefficients of teachers' perceived principal's positive leadership and organizational commitment (r=0.86, p<0.00) indicating that teachers' perceived principal's positive leadership and organizational commitment are positively and significantly correlated.

4.6 Linear Regression Analysis

The influence of teachers' perceived positive leadership on organizational commitment is further tested and the results show that F value=848.45, p<0.00, reaching a significant level. Among them the standardized regression coefficient of the Positive Leadership (β=0.86, F=848.45, p=0.00), It shows that the principal's positive leadership perceived by the tested private college teachers has a positive and significant impact on Organizational Commitment and it can explain the 74% variation in organizational commitment (R^2=0.74).

5. Conclusions

5.1 Research Conclusions

According to the purpose of this study after data analysis in part 4, the following conclusions

are drawn: Different demographic variables have significant differences in the private college teachers' perceived principal's positive leadership and organizational commitment; Private university teachers' perceived principal's positive leadership has a positive and significant impact on the organizational commitment.

5.2 *Discussion on the Current Situation and Positive Impact of Private College Teachers' Perceived Principal's Positive Leadership and Organizational Commitment*

The results of this study indicate that in terms of gender, female teachers have higher organizational commitment and perceive principals' positive leadership than male teachers; in terms of professional title professors have higher organizational commitment and perceive principals' positive leadership than lecturers. The results are consistent with the findings of Liu [17].

The results of this study indicate that the higher the degree of teachers' perceived principal's positive leadership is the higher the degree of organizational commitment is which is consistent with the research findings of Hu and Sun [15]. It also echoes that the positive behavior of the leader of the organization will promote the psychological literacy of the members of the organization [8]. In other words, the more teachers perceive the principal's positive leadership, the more the teacher's commitment to the organization will be improved.

5.3 *Practical Value and Future Research Recommendations*

The findings of this study can provide important theoretical and methodological support for human resource management practices of the school. First of all, managers know that school principal's positive leadership is an important factor affecting teachers' school effectiveness. Therefore, strengthen the school principal's positive leadership. In actual school affairs management strengthen the training of school principals for positive leadership and advocating principals to use positive leadership decisions, develop positive leadership, and use empathy to listen to the teachers' voices and care for each teacher; establish good working partnerships with teachers and use multiple perspectives to interpret teachers' behaviors and enable the school's core values and teachers' personal values to be combined together, etc., create a positive school atmosphere and shape the school's positive vision and to communicate with teachers with positive emotions and thinking at any time, then to establish positive interpersonal relationships. Therefore, increase teachers' organizational commitment. In actual school affairs management, managers try to meet the teachers' work needs and assist them in self-realization. At the same time, teachers themselves must strengthen their professional learning and continuously improve their teaching and research capabilities. In actual school affairs management principals often adopt positive leadership behaviors to create a positive atmosphere in the organization thereby achieving the common goal of both the school and

teachers to achieve school effectiveness and personal value respectively.

Based on the limitations of this study, the following future recommendations are put forward. (1) rigorous sampling method to expand the sample source; (2) using interviewing or experimental methods, and combining quantitative research, and experimental research together.

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Influence of Social Support on Entrepreneurial Self-efficacy and Entrepreneurial Intention of University Students in Hainan, China

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Abstract

This study aims to explore the relationship between social support, entrepreneurial self-efficacy and entrepreneurial intention of university students. An effective sample of 435 students from a public university in Hainan was collected. Social support, entrepreneurial self-efficacy, and entrepreneurial intention survey are used to examine the influences of social support and entrepreneurial self-efficacy of university students on their entrepreneurial intention and the mediating role of entrepreneurial self-efficacy between social support and entrepreneurial intention. The results indicate that (1) social support can positively and significantly predict entrepreneurial intention; (2) social support can positively and significantly predict entrepreneurial self-efficacy; (3) entrepreneurial self-efficacy can positively and significantly predict entrepreneurial intention; and (4) entrepreneurial self-efficacy plays a mediation role between social support and entrepreneurial intention.

Keywords: Social support, Entrepreneurial self-efficacy, Entrepreneurial intention, University, University students

1. Introduction

Entrepreneurship has become important in research and universities owing to its influence on the society and the economy. Entrepreneurship is the process of discovering new ways of starting or managing a business to pursue profit and economic development [1]. The outcomes of entrepreneurship drive economic growth, resource allocation, reduction of economic inequality among regions, alleviate unemployment and assistance for corporate development sustainability [2][3]. Studies on the entrepreneurship reveal that the increasing number of entrepreneurial action of university students enhances technological innovation and transformation, job opportunities and economic growth [4][5]. Thus, increasing the entrepreneurial action among university students is considered a strategy to increase economic development and social sustainability.

Entrepreneurial intention is a trigger for entrepreneurial action. Examining entrepreneurial

intention can predict potential entrepreneurial behaviour [6][7]. Bird [8] emphasised that entrepreneurial intention is a psychological state that directs an individual to achieve a new goal or create new values on an existing environment, which influence entrepreneurial ideas, goal setting and commitment of the actions. Hobfoll [9] indicated that social support is one of the psychological resources that can enhance the success of an individual's goal or business. Entrepreneurial self-efficacy has been perceived as a factor that can influence entrepreneurial intention [10]. Entrepreneurial self-efficacy refers to an individual's belief in self-abilities to reach successful entrepreneurship [11]. Kickul, Gundry, Barbosa and Whitcanack [12] discovered that the possibility of engaging in entrepreneurship action is increased when students exhibit positive thinking of self-efficacy and entrepreneurship. Accordingly, a high attitude toward self-efficacy affects students' beliefs for reaching successful entrepreneurship.

Previous studies have discussed the mediating effects of different variables between entrepreneurial self-efficacy and entrepreneurial intention [13][14][15]. However, few studies on the relationships among social support, entrepreneurial self-efficacy and entrepreneurial intention are available. Therefore, this study aims to investigate the effect of university students' social support on entrepreneurial intention and determine the mediating effect of entrepreneurial self-efficacy on such relationship.

2. Literature Review

2.1 Theory

The theory of planned behaviour proposed by Ajzen [16] explains why individuals take a certain specific action and suggests that behavioural intention is an indicator of individuals' voluntary activities. If the behavioural intention is strong, then the probability that individuals take an action is high, as shown in Figure. 1.
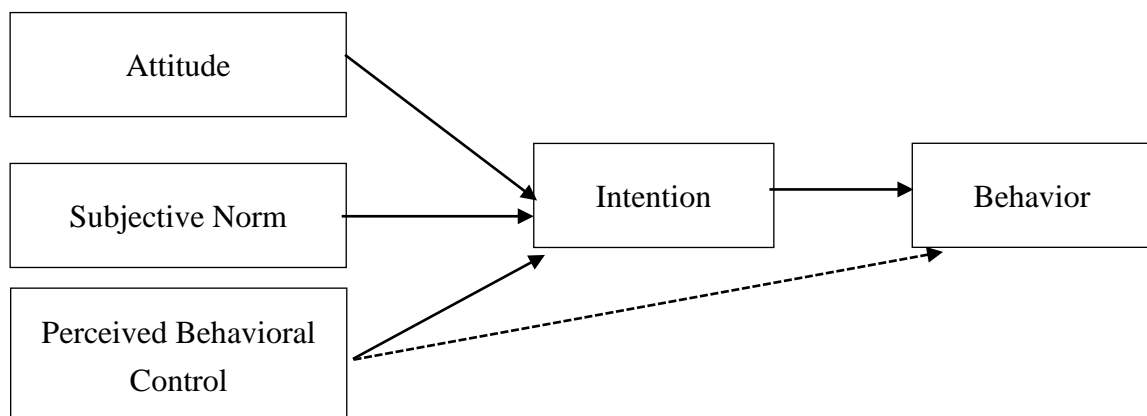
Figure.1 Theory of Planned Behavior

Extending the association indicates that if entrepreneurial intention is strong, then the probability that individuals implement entrepreneurial activities and start businesses is also high. In this study, the effect of entrepreneurial self-efficacy from social support on entrepreneurial intention is examined by using the theory of planned behaviour. Entrepreneurial self-efficacy is an individual's self-factor and is in line with the attitude elements in the theory of planned behaviour. It can evaluate individual's entrepreneurial behaviour. Social support is an external social factor, which conforms to the subjective norms in the theory of planned behaviour. Such support has a positive/negative effect on individuals' entrepreneurial intention. Perceived behavioural control, a combination of entrepreneurial self-efficacy and social support, affects the trend of entrepreneurial intention. This study conducts an in-depth exploration on this research mode.

2.2 *Entrepreneurial intention*

Lumpkin and Dess [17] believe that entrepreneurial intention is a dynamic process aimed at group innovation. Entrepreneurial intention is likewise regarded as a strategic decision-making process of group status. Thompson, Jones-Evans, and Kwong [18] define entrepreneurial intention as entrepreneurial determination. Individuals who develop the intention to start a business have a sense of conducting entrepreneurial actions; further, individuals with entrepreneurial intention will take entrepreneurial actions in the future.

2.3 *Social support*

Cobb [19] reveals that after being respected and cared for by others, individuals can improve their psychological balance; moreover, receiving the right experience, knowledge and information from others can generate the motivation to undertake problems and relieve the negative effect of emotional tension, thereby indicating that individuals can solve financial risks and improve their living environment with the help of others. Malecki and Demaray [20] point out that social support can be regarded as a kind of aid. In an unfavourable situation, such action can help individuals have improved solutions in the face of difficulties and stress.

2.4 *Entrepreneurial self-efficacy*

Chen, Greene and Crick [21] define entrepreneurial self-efficacy as the situation in which entrepreneurs are confident that they can play an entrepreneurial role and complete entrepreneurial tasks. This trait plays a critical role in determining whether to conduct entrepreneurial behaviour. For businesspersons, entrepreneurial self-efficacy can fill the gap in terms of entrepreneurial ability and entrepreneurial cognition and help them adapt to the unknown entrepreneurial environment; thus, understanding entrepreneurial self-efficacy is crucial for individuals who are about to start their own businesses [22].

2.5 Social support and entrepreneurial self-efficacy

A favourable entrepreneurial environment can also help individuals improve their entrepreneurial self-efficacy. If the entrepreneurial ideas and abilities of the individuals who want to start a business can be affirmed and supported by others, then they will have strong entrepreneurial self-efficacy [21]. Forbes [23] believes that when individuals seek and obtain help from the outside, their own entrepreneurial beliefs and self-confidence can be improved, and they are then able to put their ideas into practice. Xiong [24] reveals that the social support system established by the family and the campus (as well as the school support network which has intimacy with the students) can enhance an individual's self-efficacy. Therefore, this study proposes H1: Social support significantly and positively predicts university students' entrepreneurial self-efficacy.

2.6 Entrepreneurial self-efficacy and entrepreneurial intention

Zhao et al. [15] verify that individuals with strong entrepreneurial self-efficacy have high confidence in the establishment of their own companies and high probability of conducting entrepreneurial actions in the future. Urban [25] also indicates that entrepreneurial self-efficacy can significantly affect entrepreneurial intention. Kickul et al. [12] mention that students with high self-efficacy have great faith that they can succeed in entrepreneurship. Accordingly, this study proposes H2: Entrepreneurial self-efficacy significantly and positively predicts university students' entrepreneurial intention.

2.7 Social support and entrepreneurial intention

Lüthje and Franke [26] believe that regardless of one's school, family or society, an environment that hinders entrepreneurship reduces the entrepreneurial intention of individuals, whereas an environment that supports entrepreneurship promotes entrepreneurial intention. Liao and Welsch [27] indicate that capital, information, encouragement from family and understanding from friends and other social support contribute to entrepreneurship success. Some studies also show that university students with high social support may have high entrepreneurial intention and engage in entrepreneurial actions [28]. Therefore, this study proposes H3: Social support has significantly positive prediction on university students' entrepreneurial intention.

2.8 Mediating role of entrepreneurial self-efficacy in social support and entrepreneurial intention

Zhao et al. [15] establish that entrepreneurial self-efficacy plays a mediating role between entrepreneurial risk and entrepreneurial intention. Yang and Hu [14] study the relationship between social network, entrepreneurial self-efficacy and entrepreneurial intention, which confirm the mediation effects of entrepreneurial self-efficacy. Moreover, strong emotional

support and entrepreneurial self-efficacy can enhance entrepreneurial intention. Li and Yue [13] indicate that the social support of one's social system, capital and norms are antecedent variables have indirect effects on entrepreneurial intention based on the mediating role of entrepreneurial self-efficacy. Accordingly, this study suggests that entrepreneurial self-efficacy may have mediation effects between social support and entrepreneurial intention, as expressed in H4: Entrepreneurial self-efficacy mediates the relationships between university students' social support and entrepreneurial intention.

3. Method

3.1 Research framework

Figure 2 illustrates the proposed research model according to the hypotheses of this study.
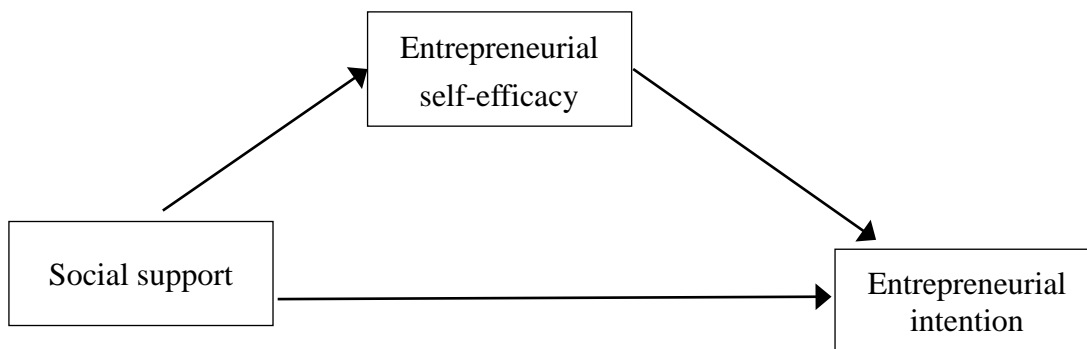
Figure.2 Research framework

3.2 Sample

The sample involved senior students of the Oceanography Department in a public university in Hainan, China. Data collection focuses on senior students because the development of entrepreneurship competency is a component in their course. Moreover, this University was nominated as one of the 30 top universities in terms of the entrepreneurial education indicators in Southern China in 2017. The promotion of students' entrepreneurship projects increases the improvement of the local economy and assists the transformation of the local industry, which demonstrated a successful entrepreneurial education in this university. Thus, this study collected the samples of senior students in a public university in Hainan to be the representative samples.

3.3 Research instruments

Three surveys were applied to measure social support, entrepreneurial self-efficacy and entrepreneurial intention. These surveys are detailed below.

3.3.1 Social support survey

Yan and Zheng [29] devised the perceived social support survey, which is a 12-item and three-dimension survey and adopts a five-point survey from 1 (strongly disagree) to 5 (strongly agree). This survey exhibited satisfactory reliability and validity with a Cronbach's α of 0.905 and a cumulative total explained variance of 69.916%.

3.3.2 Entrepreneurial self-efficacy survey

The entrepreneurial self-efficacy survey was devised by Niu [30]. The survey consists of 16 items and four dimensions and adopts of a five-point survey from 1 (strongly disagree) to 5 (strongly agree). This survey exhibited satisfactory reliability and validity with a Cronbach's α of 0.929 and a cumulative total explained variance of 67.459%.

3.3.3 Entrepreneurial intention survey

Liñán and Chen [31] devised the entrepreneurial intention survey, which is a six-item and one dimension survey and adopts a five-point survey from 1 (strongly disagree) to 5 (strongly agree). This survey exhibited satisfactory reliability and validity with a Cronbach's α of 0.919 and a cumulative total explained variance of 71.380%.

3.4 Data analysis

SPSS Statistics 22.0 was employed to analyse the collected data through descriptive statistics, Pearson product-moment correlation and regression analysis.

4. Results

4.1 Descriptive analysis of samples

A total of 450 questionnaires were sent out and then collected. Among them, 435 questionnaires were valid, with an effective recovery rate of 96.6%. The valid samples were as follows: 154 were men (35.4%) and 281 were women (64.6%); 102 were only child (23.4%) and 333 were not an only child (76.6%); 103 were majored in humanities (23.7%), 52 were majored in science and engineering (12.0%), 29 were majored in arts (6.7%), 82 were majored in sports (18.9%), 75 were majored in hotels (17.2%), 43 were majored in business (9.9%) and 51 were majored in foreign languages (11.7%).

4.2 Variable descriptive statistics and correlation analysis

Table 1 shows the mean (M) and standard deviations (SD) of all variables are as follows: social support (M=3.643, SD=0.618), entrepreneurial self-efficacy (M=3.420, SD=0.598) and entrepreneurial intention (M=3.171, SD=0.788). The result indicates that all variables were at the upper-middle average scores because all three surveys were rated on a five-point survey. A significantly positive correlation shows among all variables. Particularly, a significantly

positive correlation shows between social support and entrepreneurial self-efficacy (r=0.473, p<0.01), between social support and entrepreneurial intention (r=0.298, p<0.01) and between entrepreneurial self-efficacy and entrepreneurial intention (r=0.639, p<0.01). The correlation coefficients among all variables were in the range of 0.298-0.639, which indicates there was no collinearity.

Table 1. Variable descriptive statistics and correlation analysis

Variable	M	SD	Social Support	Entrepreneurial Self-efficacy	Entrepreneurial Intention
Social Support	3.643	0.618	1		
Entrepreneurial Self-efficacy	3.420	0.545	0.473**	1	
Entrepreneurial Intention	3.171	0.788	0.298**	0.639**	1

*$p<0.05$ **$p<0.01$ ***$p<0.001$

4.3 Predictive analysis on variables

The F value of the overall test in the regression analysis of social support to entrepreneurial self-efficacy is 124.696 (*p*<0.001) as shown in Table 2. The standardized regression coefficient β value is 0.473 (*p*<0.001). Thus, social support can positively and significantly predict entrepreneurial self-efficacy, which verifies H1.

Table 2. Summary of regression analysis of the mediating effects

	Entrepreneurial Self-efficacy	Entrepreneurial Intention		
	Model 1	Model 2	Model 3	Model 4
Social Support	0.473***	0.298***		-0.005
Entrepreneurial Self-efficacy			0.639***	0.641***
R^2	0.224	0.089	0.408	0.408
Adj R^2	0.222	0.087	0.407	0.406
F	124.696***	42.344***	298.902***	149.117***

*$p<0.05$ **$p<0.01$ ***$p<0.001$

4.4 Predictive analysis of entrepreneurial self-efficacy on entrepreneurial intention

As shown in Table 2, the F value of the overall test in the regression analysis of entrepreneurial self-efficacy to entrepreneurial intention is 42.344 (<0.001). The standardized regression coefficient β value is 0.298 (*p*<0.001). Thus, entrepreneurial self-efficacy can positively and significantly predict entrepreneurial intention, which verifies H2.

4.5 Predictive analysis of social support on entrepreneurial intention

As shown in Tab. 1, the F value of the overall test in the regression analysis of social support to entrepreneurial intention is 298.902 ($p<0.001$). The standardized regression coefficient β value is 0.639 ($p<0.001$). Thus, social support can positively and significantly predict entrepreneurial intention, which supports H3.

4.6 Analysis on the mediating role of entrepreneurial self-efficacy between social support and entrepreneurial intention

Hierarchical regression is adopted to test the mediating effect of entrepreneurial self-efficacy on the relationship between social support and entrepreneurial intention, as shown in Table 2. The analysis result shows that social support has significant effect on entrepreneurial self-efficacy (β=0.473, $p<0.001$), social support has significant influence to entrepreneurial intention (β=0.298, $p<0.001$) and entrepreneurial self-efficacy has significant influence to entrepreneurial intention (β=0.639, $p<0.001$). However, the effect of social support is insignificant (β=-0.005, $p=0.909$), and that of entrepreneurial self-efficacy remains significant (β=0.641, $p<0.001$) when considering both social support and entrepreneurial self-efficacy to entrepreneurial intention. Moreover, the mediating effect is established based on the criteria of Baron and Kenny [32], which show that entrepreneurial self-efficacy fully mediates the relationship between social support and entrepreneurial intention. Sobel test is applied to reexamine the mediating effect of entrepreneurial self-efficacy on social support and entrepreneurial intention. The result shows that the mediating effect is significant (z=9.049, $p<0.001$). Hence, social support affects entrepreneurial intention by entrepreneurial self-efficacy, which supports H4.

5. Conclusion

This study aimed at investigating the influence of university students' social support on entrepreneurial intention and determines the mediating role of entrepreneurial self-efficacy. The results contributed to confirm the four proposed hypotheses: (1) Social support can positively and significantly predict entrepreneurial self-efficacy. (2) Entrepreneurial self-efficacy can positively predict entrepreneurial intention. (3) Social support can positively predict entrepreneurial intention. (4) Entrepreneurial self-efficacy plays a full mediation role between social support and entrepreneurial intention. These findings show that entrepreneurial self-efficacy is a key factor to increase the entrepreneurial intention of university students.

Accordingly, this study provides the following suggestions to universities and relevant departments. Universities should conduct entrepreneurship competitions and increase entrepreneurship training courses to assist students in finding their entrepreneurial abilities and directions. Further, the ability of innovative thinking need to be cultivated through further

training to develop students' self-efficacy. The government, universities, and enterprises should strengthen cooperation to provide entrepreneurial practice opportunities as well as the guarantee and services in entrepreneurial information, training, and funds. In this manner, students' entrepreneurial experience can be enriched, and they can identify and grasp entrepreneurial opportunities. Moreover, universities should actively invite alumna and entrepreneurs to interact with students and share their entrepreneurial and administrative experience through symposiums. Students' entrepreneurial ability such as interpersonal communication can also cultivate by establishing the entrepreneurial student associations. In order to assist students with entrepreneurial pressure and risk, universities should conduct psychological guidance courses on entrepreneurship to strengthen students' psychological health.

6. Limitations

The sample range of the subjects investigated can be expanded, and the investigation can be performed in different areas. At the same time, qualitative research methods can be adopted to obtain abundant research results. For future research, whether other variables can play a mediating role between social support and entrepreneurial intention can be explored.

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The Influence of the Charm of English Teachers on English Learning Motivation for Undergraduates at Universities in Shanghai, Taking the Interaction between Teachers and Students as the Intermediary Variable

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Abstract

The purpose of this study is to explore the relationship among the three variables: the charm of English teachers, English learning motivation and interaction between teachers and students. Using the method of intention sampling, the undergraduates from three universities in Shanghai were selected as the research objects to conduct the online questionnaire survey.

Keywords: Charm of English Teachers; Learning Motivation; Interaction between Teachers and Students; Intermediary Role

1. Introduction

The educator Ushinsky (1824-1871) [28] thinks that the personality of teachers is a kind of educational power for students, which has a huge impact on students. It is no textbook, or any moral maxim, or even any punishment or reward can replace it. According to Ushinsky [28], teachers' personality charm, as a hidden course, can greatly affect learning motivation [33]. Learning motivation is the internal strength and motivation to motivate students to learn, including personal intention, desire, psychological impulse and goal [8]. However, there is a positive correlation between learning motivation and learning achievement, that is, the stronger learning motivation is, the better learning achievement is [14]. Therefore, how to improve students' learning motivation is related to the teaching results. In the process of children's education, teachers are faced with students' lack of interest in learning, learning motivation is not strong, learning weariness, and the resulting truancy, truancy, even violence, crime and other issues. The traditional mode of education is usually compulsory or ideological work based on experience, which is basically explicit [2].

Chen [5] believes that in a learning field, there are not only learners but also teachers, and the concept of community university needs to guide and inspire students to learn through teachers in the teaching process, so teachers need to have professional ability and teaching skills to successfully complete the task. In community universities, students' learning motivation is an important factor for teachers to start classes smoothly. Therefore, it is very important to make learning become the fun of students' life, let students like learning, attract learners to feel learning is a kind of enjoyment, and guide learners to continue learning.

There are great differences in the educational motivation of students in different stages, which is mainly caused by the differences in cognition. There are significant differences in learning motivation between undergraduates and middle school students. Moreover, there are significant differences in the influence of English teachers' personal charm on their motivation. In contrast, the influence of English teachers' personal charm on middle school students' learning motivation is much higher than that of college students [22]. The personal charm of teachers refers to the sum of all kinds of important and relatively stable psychological characteristics of teachers, including moral character, character, temperament, knowledge, ability, interest, pursuit, etc. These charms are formed and developed in Teachers' long-term social practice, which reflects a person's overall spiritual outlook [6]. Teachers with strong personal charm have more advantages in teaching. The process of teaching is that teachers effectively impart knowledge and life experience to students. Students give feedback to the content of teachers. In fact, the process of teaching is the process of interaction between teachers and students. The quality of interaction determines the effect of teaching. Students are more willing to interact with teachers with personal charm [29].

Learning motivation changes dynamically all the time. In a very small time period, students' learning motivation also changes [23]. Under the personal charm of teachers, they have a sense of identity with teachers, increase the possibility of interaction with teachers, and at the same time, their learning motivation becomes strong [25].

The state of interaction between teachers and students affects students' learning motivation, and the personal charm of teachers also affects the state of interaction between teachers and students. Will teacher-student interaction have an intermediary effect on students' learning motivation when teachers' personal charm affects students? If there is an intermediary effect, what is the result of this effect? This is worth studying. According to Yang [30], teacher-student interaction and learning engagement are important mediators of English teachers' teaching styles affecting learning self-efficacy.

In the education system of Chinese mainland, English is a very important subject, which plays a decisive role in entering higher education and finding jobs. Therefore, how to effectively improve the quality of English teaching has always been the concern of teachers, parents and students. Teachers play an important role in the success or failure of English teaching, so it is very urgent and important for English teachers to improve the quality of teaching. Shanghai is located at the mouth of the Yangtze River, with obvious location advantages. For a long time, it has a strong economic position, where universities and talents gather. The purpose of this study is to fully explore and analyze the composition of the personal charm of English teachers, and analyze the influence of the personal charm of these teachers on the English learning of

undergraduates. At the same time, in view of the important role of teacher-student interaction in teaching, this study uses teacher-student interaction as an intermediary variable to analyze the impact of teachers' personal charm on undergraduates' English learning motivation, so as to provide suggestions to improve the quality of undergraduate English teaching according to the research results.

The purpose of this study is to study the influence of the charm of English teachers on Undergraduates' English learning motivation.

2. Literature Review

2.1 Explanation of Terms

2.1.1 Personal Charm of English Teachers

The personal charm of a teacher usually refers to the extraordinary quality and charm of a teacher in terms of thoughts, feelings and personality [4]. It is a kind of supreme state that teachers, as professional subjects, have achieved through their unremitting efforts, insights and continuous improvement in their long-term career. It is sublimated based on their outstanding personality composition. It is the sum of unique appeal, influence, inspiration, affinity, centripetal force and appeal formed and developed through long-term education practice. The personality charm of teachers is an important guarantee for the implementation of quality education. Students from different disciplines have different feedback on Teachers' personal charm [26]. The personal charm of English teachers includes language charm, character charm, moral charm and learning charm [21].

2.1.2 Teacher-student Interaction

Teacher-student interaction refers to all the interaction and influence between teachers and students in the process of education and teaching. This kind of interaction can occur not only in organized education and teaching activities, but also in informal games and extracurricular activities; its content is also complex and diverse, including teachers' knowledge transfer, emotional education, behavior guidance, life ability training, etc. to students, as well as students' questions and opinions to teachers. Its forms are rich and colorful, including the interaction between teachers and individual students, as well as the interaction between group students or the whole class students and teachers. From the perspective of English teachers, interaction can be divided into democratic interaction, authoritarian interaction and laissez faire activities [24]. The details are as follows:

a. Democratic interaction: English teachers do not force students to participate in the interaction;

b. Specialized interaction: English teachers specialize in the interaction of students;

c. Free interaction: English teachers only teach their own content and are indifferent to interaction.

2.1.3 English Learning Motivation

The study of social psychology of language learning [8] [9] pays close attention to learning motivation as a characteristic of learners. Gardner & Lambert [8] believe that there are two main types of learning motivation or orientation: one is "tool type", that is, using language as a tool to achieve a specific purpose, such as finding a job with high salary; the other is "integration type", that is, understanding and integrating into the target language culture. Motivation orientation and intelligence factors affect learning outcomes together. Another classical dimension is "intrinsic motivation" and "extrinsic motivation" [1]: the former is to obtain pleasure and satisfaction from language learning activities, while the latter takes this as a way to achieve a certain goal. These two dimensions are generally considered to be corresponding, that is, integrative motivation is internal motivation and instrumental motivation is external motivation [3].

Gao, Zhao, Cheng, & Zhou [7] classified English learning motivation into seven categories based on previous studies and questionnaire statistics, as follows:

a. Interest motivation: pure love of English.

b. Achievement motivation: in order to get good English test results.

c. Situational motivation: Learning under the influence of a certain situation.

d. Motivation for going abroad: for the convenience of going abroad.

e. Responsibility Motivation: learning English is one's own responsibility.

f. Development motivation: in order to be more conducive to their own development in the future.

g. Media motivation: Through English, we can better grasp the media to obtain information.

2.1.4 A Study on the Relationship between the Charm of English Teachers and English Learning Motivation

Motivation has become a positive trend, which means that as a hidden curriculum, teachers' personal charm is getting more and more attention. The personal charm of teachers consists of many factors, including the charm of teachers' personality, moral charm and intellectual charm [34]. Based on the perception and recognition of the charm of teachers, students will have a greater interest in learning. This paper investigates 2278 undergraduates' English learning motivation in 30 universities in China. And the statistical analysis shows that the charm of English teachers can greatly promote students' learning motivation, that is, the charm of English teachers has a significant impact on English learning motivation [7]. Therefore, hypothesis 1 is proposed in this study. H1: the charm of English teachers has a significant impact on English

learning motivation.

2.1.5 A Study of the Relationship between the Charm of English Teachers and the Interaction between Teachers and Students

In order to effectively impart classroom knowledge and life experience to students, teachers need to arouse students' enthusiasm and thirst for knowledge, which requires teachers to have strong personality charm, enhance their connotation and temperament through various means and ways, and strengthen interaction with students. So as to stimulate students' interest in learning and ultimately achieve the purpose of improving teaching effect [29]. Teacher-student interaction is the most basic interpersonal interaction in teaching. It plays a very important role in the achievement of teaching objectives and the development of students' physical and mental health. However, college students have strong plasticity, higher level of knowledge structure, active thinking, strong sense of success, and more comprehensive cognition of teachers. Therefore, the role of teachers' personal charm in teaching is very important [20]. A good teacher-student relationship is conducive to the positive interaction between the two in the classroom, and the establishment of teacher-student relationship will be affected by many factors. Such as personal aspirations, hobbies, charisma, knowledge and so on. And teachers with personal charm are more likely to establish good teacher-student relationship with students [15]. Teaching process is a process of information exchange. Teachers are the senders and receivers of information. What the teacher sends out is knowledge information, and what he receives is the response of the students to the knowledge information he imparts. Students are the receivers and senders of information.

They receive knowledge information and send out understanding letters. The reception and feedback of information between teachers and students is completed through the interaction between teachers and students in teaching. The results of interaction reflect the students' achievements [16]. Therefore, how to effectively interact becomes the focus of teachers' attention, and improving teachers' personal charm is an important way to enhance the effectiveness of teacher-student interaction. Based on the above research, hypothesis 2 is proposed. H2: the charm of English teachers has a significant impact on the interaction between teachers and students.

2.1.6 A Study on the Interaction between Teachers and Students and English Learning Motivation

As a linguistics, the interaction between teachers and students affects learning achievement. A good teacher-student relationship helps teachers and students interact, thus strengthening their motivation for English learning [17]. The interaction between teachers and students has a significant impact on students' learning input, and then on their learning motivation, especially

on Research-based Learning [31]. It is a two-way process for teachers to teach knowledge and students to accept knowledge. Teachers must establish a positive relationship with students in order to provide them with learning opportunities and motivation, so that they can succeed in their studies and life. Better contact and closer relationship between teachers and students will produce higher student motivation [19]. Generally speaking, English learning will be influenced by such factors as learners' concept, learners' emotional factors, linguistic ability, learning motivation and personality characteristics. While learning motivation is an important factor that affects learners' language acquisition, and teacher-student interaction has an improving effect on learning motivation [18]. Through the interaction between teachers and students in the bilingual classroom of junior high school students in Kashi City and the students' learning situation. Through comparative analysis of the interaction and student performance of the three schools, the results show that the overall teaching level of the school with more active interaction and stronger interaction awareness is better, so he believes that good teacher-student interaction can promote the improvement of students' learning motivation [27]. Based on the above research, this paper puts forward hypothesis 3. H3: the interaction between teachers and students has a significant impact on English learning motivation.

2.1.7 A Study on the Relationship among the Charm of English Teachers, the Interaction between Teachers and Students and English Learning Motivation

The charm of teachers includes the charm of teachers' character, behavior, language and knowledge. The teacher's personality charm can affect the high school students' English learning motivation. At the same time, the learning motivation is an important factor that affects the success of English learning and one of the main variables that restrict students' English learning performance. The teacher's personality charm is also an important factor that affects students' English learning motivation. In addition, teacher interaction is also an important factor affecting teaching motivation. The research shows that under the same personal charm, the more positive the interaction between teachers and students, the more obvious the learning motivation of students [13]. Because of the difference of cognition and motivation. Therefore, teachers' personal charm has a significant impact on high school students' English learning motivation. At the same time, interaction also has a significant intermediary effect, but the effect is weak. This is mainly because high school students take the initiative to learn English for the purpose of going to university, so whether interaction has a great impact on it is not great [10]. Zhu [33] took senior high school students as the research object, analyzed the influence of teachers' personality charm on senior high school students' English learning motivation, and included teacher-student interaction as an intermediary variable in the empirical analysis. The research shows that teachers' personal charm will have a significant impact on Senior High School Students' English learning motivation. The interaction between teachers and students has an intermediary effect between the charm of English teachers and English learning motivation.

Based on the above research, Hypothesis 4 is proposed. H4: the interaction between teachers and students has an intermediary effect between the charm of English teachers and English learning motivation.

3. Methods

3.1 Sample

The subjects of this study are undergraduates from A University, B University and C University in Shanghai, China. There are two main reasons for choosing these three universities. First, they are well-known universities in China, whose undergraduate representatives represent the first-class level of domestic undergraduates. Second, the universities are located in Shanghai, which is highly developed in economy. English is widely used, and undergraduates are more attentive in English learning. In English learning, the perception of different variables is obvious. Therefore, this study chooses the above three universities as the research object.

3.2 Research Tool

This study mainly uses the method of questionnaire to study and analyze the data to reach a conclusion. According to the purpose of the study, the scales of three variables are the charm of English teachers, the motivation of students to learn English, and the interaction between teachers and students. The questionnaire adopts the convenient sampling method. The content of the questionnaire includes four parts. The first part is the situation of students, including university, gender, grade, etc.; the remaining three parts are the charm of English teachers, the motivation of students to learn English, and the interaction between teachers and students. The data of this questionnaire is obtained through the online questionnaire.

3.2.1 Scale of the Charm of English Teachers

When Cronbach's α is more than 0.7, the reliability is good [5]. The Cronbach's α value of the personality charm of teachers and students is 0.812; the Cronbach's α value of the moral charm of teachers is 0.783; the Cronbach's α value of the language charm of teachers is 0.817; the Cronbach's α value of the knowledge charm of teachers is 0.809; the Cronbach's α value of the total personal charm of teachers is 0.814, which has a good reliability. Before the confirmatory factor analysis of the teacher's personal charm scale, the KMO value and Bartlett's ball type validity test should be carried out first. When KMO is more than 0.7, the more common factors among the items of the scale, the factor analysis of the scale can be carried out. The KMO value of teachers' personal charm scale is 0.914, which has more common factors, so it has a better confirmatory factor analysis effect. The load value of items in the teacher's personal charm scale is more than 0.5. When the load value is greater than 0.5, it is considered that the impact of the item on the overall scale is effective. At the same time, the CR value of teachers' charisma is

0.815; the CR value of teachers' moral charisma is 0.837; the CR value of teachers' language charisma is 0.816; the CR value of teachers' learning charisma is 0.863; the CR value of the whole scale is greater than 0.8, and the construction reliability is good. In addition, the AVE value indicates the convergence validity of the scale. When AVE is greater than 0.5, it is considered to have a better convergence validity. From the results, the AVE values of each dimension of the teacher's personal charm scale are greater than 0.5, so the convergence validity is better.

3.2.2 Scale of English Learning Motivation

The Cronbach's α value of the deleted project is greater than 0.7, and the overall Cronbach's α value is 0.825, which is also greater than 0.7. Through the KMO value and Bartlett ball test of English learning motivation scale, the KMO value of the English learning motivation scale is 0.863, so the structure validity of the scale is good and it can be used for confirmatory factor analysis. The load value of items in the English learning motivation scale is greater than 0.5. At the same time, the CR value of the scale is greater than 0.8, and the construction reliability is good. And AVE value is 0.683, more than 0.5, so the convergence validity of the scale is better.

3.2.3 Scale of the Interaction between Teachers and Students

The total correlation of all items is greater than 0.4, and the Cronbach's α value after item deletion is greater than 0.7, and the overall Cronbach's α value is 0.836, also greater than 0.7. Through the KMO value and Bartlett ball test of the teacher-student interaction scale, the KMO value of the teacher-student interaction scale is 0.895, and the scale has a good structural validity, so it can be used for confirmatory factor analysis. The load value of the items in the teacher-student interaction scale is greater than 0.5. At the same time, the CR value of the scale is 0.836, and the construction reliability is good. And AVE value is 0.651, which is more than 0.5, so the convergence validity of the scale is better.

4. Results

This study takes use of ANOVA, correlation analysis and regression analysis to analyze the data collected.

4.1 ANOVA

In this study, one-way ANOVA was used to test the differences of personal charm of English teachers, English learning motivation and the interaction between teachers and students in different grades. The results show that there is no significant difference in personal charm of English teachers, but there are significant differences in English learning motivation and teacher-student interaction. After Scheffe's post comparison, the learning motivation of freshmen (M=3.714) is stronger than that of seniors (M=3.397), sophomores (M=3.635) is

stronger than that of juniors (*M*=3.521), and juniors (*M*=3.521) is stronger than that of *seniors* (*M*=3.392). In addition, after Scheffe's post comparison, the interaction between teachers and students of grade one (*M*=3.785) is stronger than that of grade four (*M*=3.263), grade two (*M*=3.557) is stronger than that of grade three (*M*=3.392), and grade three (*M*=3.392) is stronger than that of grade four (*M*=3.263).

4.2   Correlation Analysis

Table 1 Correlation Analysis (Pearson Test Results)

	Charm of Personality	Charm of Morality	Charm of Language	Charm of Knowledge	English Learning Motivation	Teacher-student Interaction
Charm of Personality	1					
Charm of Morality	.584 .036*	1				
Charm of Language	.538 .037*	.518 .043*	1			
Charm of Knowledge	.494 .158	.537 .274	.628 .003**	1		
English Learning Motivation	.634 .007**	.672 .012*	.685 .001**	.692 .005**	1	
Teacher-student Interaction	.714 .005**	.759 .003**	.771 .006**	.703 .002**	.528 .002 **	1

Note: *p<.05, **p<.01
Source: Collation of this study

The correlation analysis obtained in this study refers to the study of the correlation between the personal charm of English teachers, students' English learning motivation and the interaction between teachers and students, which is expressed by Pearson test and coefficient. The size of coefficient indicates the correlation degree of variables [35]. The results of Table 4.1 show that the Pearson correlation coefficient of personality charm and English learning motivation is .634 (*p*<.01), the Pearson correlation coefficient of moral charm and English learning motivation is .672 (*p*<.05), the Pearson correlation coefficient of language charm and English learning motivation is .685 (*p*<.01), and the Pearson correlation coefficient of learning charm and English learning motivation is .692 (*p*<.01). The Pearson correlation coefficients of personality

charm and teacher-student interaction were .714 ($p<.01$), moral charm and teacher-student interaction were .759 ($p<.01$), language charm and teacher-student interaction were .771 ($p<.01$), knowledge charm and teacher-student interaction were .703 ($p<.01$). The Pearson correlation between English learning motivation and teacher-student interaction was .528 ($p<.01$). In addition, the Pearson correlation coefficient of moral charm and character charm is .584 ($p<.05$), the Pearson correlation coefficient of language charm and character charm is .538 ($p<.05$), the Pearson correlation coefficient of language charm and moral charm is .518 ($p<.05$), and the Pearson correlation coefficient of learning charm and language charm is .628 ($p<.01$). In addition, the Pearson correlation coefficients of learning charm, personality charm and moral charm are not significant.

4.3 Regression Analysis

Table 2 Analysis of Intermediary Effect

Model	Dependent Variable	Independent Variable	β	t	Adj. R²	F	R²
1	English Learning Motivation	Charm of English Teachers	.674**	12.482	.711	213.704	.912
2	Teacher-student Interaction	Charm of English Teachers	.793**	15.317	.614	168.012	.874
3	English Learning Motivation	Teacher-student Interaction	.528**	16.227	.675	196.314	.897
4	English Learning Motivation	Charm of English Teachers	.537**	9.182	.628	56.409	.903
		Teacher-student Interaction	.415**	7.316			

Note: **$p<.01$
Source: Collation of this study

According to the research of Baron and Kenny [36], in order to play an intermediary role in undergraduate students' feeling of the influence of English teachers' personal charm on English learning motivation, the following four models must be met: Model 1: the independent variable (English teacher's personal charm) has a significant effect on the dependent variable (English learning motivation). From Table 4.2, it can be seen that the personal charm of English teachers has a significant positive impact on English learning motivation, and the β coefficient is .674 ($p<.01$). Hence, Model 1 is established. Model 2: the independent variable (personal charm of English teachers) has a significant impact on the intermediary variable (teacher-student interaction). It can be seen from Table 4.2 that the personal charm of English teachers has a significant positive impact on the interaction between teachers and students, with a β coefficient of .793 ($p<.01$). Hence, Model 2 is established. Model 3: the mediating variable (teachers-students interaction) has a significant effect on the dependent variable (English learning motivation). It can be seen from Table 4.2 that the interaction between teachers and students

has a significant positive impact on English learning motivation, and the β coefficient is .528 (p<.01), so Model 3 is established.

For Model 4, when the independent variable (English teacher's personal charm) and the intermediary variable (teacher-student interaction) are used as independent variables to regress the dependent variable (English learning motivation), the teacher-student interaction still has a significant impact on English learning motivation. It can be seen from Table 4.2 that when English teachers' personal charm and teacher-student interaction as independent variables return to English learning motivation, the influence of English teachers' personal charm and teacher-student interaction on English learning motivation is significant. Among them, the β coefficient of English teachers' personal charm is .537 (p<.01), and the β coefficient of teacher-student interaction is .415 (p<.01). Therefore, Model 4 is established. According to the above analysis, teacher-student interaction plays an intermediary role in the influence of the charm of English teachers on English learning motivation. At the same time, from the perspective of standardized regression coefficient, after the teacher-student interaction is added to regression, the β coefficient value of English teacher charm in Model 1 to Model 4 decreases from .674 to .537, and the influence of English teacher charm and teacher-student interaction on English learning motivation are all significant (p<.01). Therefore, according to the research of Baron and Kenny [36], the mediating effect of teacher-student interaction is partial mediating effect.

5. Conclusion

There are significant differences in students' perception of English teachers' personal charm, teacher-student interaction and English learning motivation under different background variables. The results show that there is no significant difference in the influence of gender on teachers' personal charm, English learning motivation and teacher-student interaction. There is no significant difference in the personal charm of English teachers among students of different grades, but there are significant differences in English learning motivation and teacher-student interaction among students of different grades.

The charm of English teachers has a significant impact on English learning motivation. The regression analysis shows that the personal charm of English teachers has a significant impact on English learning motivation. The charm of English teachers has a significant impact on the interaction between teachers and students. The regression analysis shows that the personal charm of English teachers has a significant impact on the interaction between teachers and students. Teacher-student interaction has a significant impact on English learning motivation. The regression analysis shows that teacher-student interaction has a significant impact on English learning motivation.

Teacher-student interaction plays an intermediary role between English teacher charm and English learning motivation. The result of this study shows that the interaction between teachers and students has a partial mediating effect.

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The Influence of College Students' Perfectionism on Procrastination in Henan Province

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Abstract

In order to explore the influence of perfectionism of Henan college students on their procrastination behavior and whether self-control has a regulating effect, this study used a questionnaire survey method to survey 300 students from a university in Henan Province. The research results are as follows: College students' perfectionism can predict the procrastination behavior. Positive perfectionism has a significant predictive effect on procrastination. Negative perfectionism has no significant predictive effect on procrastination. Self-control has an inhibitory regulatory effect. At last, psychologists should provide targeted training for procrastination groups. Especially for the prolonged population in high perfectionism, training self-control and improving their level will be able to maximize the prolonged intervention in the conclusions of this study.

Keywords: Procrastination; Perfectionism; Self-control; Moderator; College students

1. Introduction

1.1 Procrastination and related research

In recent years, procrastination has always existed. With the increase pressure in study and work, the family and social environment have caused the delay. Procrastination is a common phenomenon. Schouwenburg and Lay [1] define procrastination as the postponement of college students' intentions of action in academic and daily activities, delaying the performance of tasks or making decisions .This behavior is frequent and unnecessary. Sabini and Silver [2] propose that procrastination is the result of an individual's unwillingness to complete nasty or difficult tasks. Steel[3]considers procrastination to be an act in which an individual voluntarily defers action despite the predictable negative consequences. Scher and Osterman [4] believe that procrastination can help individuals manage their emotions to a certain extent. When an individual's emotions are brought into anxiety by a task, individuals can manage their anxiety through procrastination and focus attention on the positive emotions. DerSimonian and Levine [5] believe that procrastination is a manifestation of peaceful life. Although such a statement is open to question, the proposition of this view has also led more researchers to take a proactive view of procrastination when conducting research.

1.2 Perfectionism and related research

Perfectionism—a type of personality trait, and the definition has undergone a series of changes. Researchers in different periods have different views on perfectionism (see Table 1). Earliest, Burns [6] understood perfectionism as negative and morbid. The negative dimensions of perfectionism include, for example, attention to errors, suspicion of behavior, a sense of difference between expectations and results, and negative reactions to errors. The positive dimension is related to the pursuit of perfection, such as high personal standards or the pursuit of excellence [7][8]. In the late twentieth century, Frost, Marten, Lahart, and Rosenblate [9] affirm perfectionism as a personality trait while considering perfectionism as a multidimensional structure. With the deepening of research, researchers believe that self-direction is the basic element of perfectionist structure, it should also have an interpersonal relationship part. Therefore, Hewitt and Flett [10] specifically studied perfectionism in the context of self and society, and divided perfectionism into three dimensions: Self-oriented Perfectionism (SOP), Others-oriented Perfectionism (OOP), Socially Prescribed Perfectionism (SPP). Hamachek [11] first proposes two forms of perfectionism on the basis of multidimensional perfectionism. One is Normal Perfectionism which has a positive meaning. It means that individuals in the pursuit of perfection not only can you gain satisfaction but also accept your own shortcomings. The other is Neurotic Perfectionism, which refers to the existence of unrealistic expectations and unsatisfactory success of individuals. This perfectionism has negative significance. In this study, the perfectionist two-component theory proposed by Slade and Owens [12] was used as the way to understand perfectionism. Based on this, we explored whether the perfectionism of college students has an impact on their procrastination.

Table 1. Different Dimensions and Perspectives of Perfectionism

	Author	Year	Opinions
One-dimensional	Burns	1980	Negative, pathological perfectionism
	Patch	1984	Neurotic perfectionism[41]
Multidimensional	Frost，Marten，Lahart & Rosenblate	1990	Perfectionism consists of six dimensions: focus on mistakes, high standards, parental expectations, parental critiques, action doubts, and organization
	Hewitt & Flett	1991	Perfectionism has three dimensions: Self-oriented perfectionism, others-oriented perfectionism, society determines perfectionism
Two-dimensional	Hamachek	1978	Normal Perfectionism and Neurotic Perfectionism
	Slaney，Rice，Mobley，Trippi & Ashby	2001	Positive perfectionism and Negative perfectionism[13]
	Stoeber & Otto	2006	Positive perfectionism and Negative perfectionism

1.3 The relationship between procrastination and perfectionism

Solomon and Rothblum [14] believe that the probable cause of procrastination is 'overly perfectionistic standards about competency' (p. 503). Eerde [15] used meta-analysis to research on procrastination and perfectionism from the perspective of tendency (not considering the impact of the situation) and find that the procrastination of individuals is related to perfectionism, that is, perfectionism is a factor that causes individuals' procrastination. Ferrari [16], when studying the perfectionism of procrastinators, finds that individuals who have procrastination behaviors do not because of lack of ability or effort, but because of existence of perfectionism. Synthesizing the opinions and conclusions of the above researchers, perfectionism is an important antecedent variable that causes procrastination, and has an irreplaceable role in exploring the formation of procrastination. As a result, this study proposed:

Hypothesis 1: College students' perfectionism can predict procrastination.

1.4 The influence of self-control on Perfectionism and procrastination

In addition, self-control is also a method of intervening in individual procrastination. Self-control is the ability of individuals to supervise own behavior according to social norms, including obeying certain requirements, implementing or reducing certain behaviors based on situational needs, and adjusting the intensity and frequency of behaviors such as language and movement in social or educational situations[17]. On the one hand, self-control is the guarantee of success. Research by Shoda, Mischel, and Peake [18]show that children with high self-control will deal with all growth issues such as stress, and are more likely to achieve excellent academic performance in the future; Funder and Block[19] find that people with a high level of self-control are calmer and less irritable and aggressive; Kelly and Conley[20] discover that individuals with a high level of self-control have a higher ability to maintain marriage. On the other hand, the failure of self-control has serious negative effects on individuals and society. Alberts, Martjin, and Vries[21] expose that the failure of self-control can directly or indirectly lead to individual learning lag, compulsive psychosis, drug addiction, and offensive behavior. In terms of research on perfectionism and procrastination, past research has shown that researchers focus more on motivation, efficacy, and time management, and less on the role of self-control. Ariely and Wertenbroch [22] pointed out in the study that when individuals realize that they have self-control problems, they will control their procrastination behaviors by specifying a deadline. Accordingly, this study used self-control as a moderator when exploring the effects of perfectionism on procrastination.

1.5 Theoretical basis

This research is based on the model of volition theory. Kuhl and Fuhrmann [23], the representative of the theory of volition theory, believe that in the individual's learning dynamics

system, there are both a motivation component and a will component. A high degree of self-awareness is the prerequisite for will control and encourages individuals to learn. And volition controls the learning behavior of individual. In other words, the formation of the volition theory model starts with motivation, the motivation phase forms the intention, and then enters the volition phase. Once the intention is formed, the will runs through the entire learning process. Corno [24] believes that motivation plays a mediating role in the behavioral decision-making process and volition plays a direct regulating role in the process from the generation of psychological state to the implementation of decision-making. Wundt [25] believes that will is closely connected with emotions. It is an important part of psychological experience just like feelings and concepts. Psychological researches cannot ignore emotions and will phenomena because emotions and will are the main characteristics of the mind, behavior is just external manifestations of emotion and will. Corno [26] emphasizes that volition has an important role in achieving the goal. Snow, Corno and Jackson [27] propose motive and will as choices made by individuals after choosing goals when discussing the structure of individual differences in human psychological functions. On that account, learning motivation is important, but the role of will in this process is more critical. Due to the strong will control ability, students can overcome difficulties, eliminate interference, and achieve goals in the learning process.

The volition theory model has been recently confirmed by researches in cognitive neuroscience. Borhani, Beck, and Haggard [28] use intentional binding to investigate will control. The results of the study show that in intentional restraint, the behavior of will and subsequent results appear as a shift in time. Fried, Haggard, He, and Schurger [29], when studying the processes and principles of will and behavior in the brain, conclude that human volitional behavior is a number of actions take in order to achieve the expected goal in consideration of the lack of external guidance in advance. In this study, perfectionism, as a personality trait, belongs to a psychological state, self-control is a manifestation of will, and procrastination is a behavior that manifests in vitro (this study did not be discussed because there is no motivational effect). For the purpose of this study, procrastination behaviors in pursuit of perfection may be due to the individual's strong will control ability—self-control, which can alleviate their procrastination behaviors. Thus, the researcher proposed:

Hypothesis 2: Self-control of college students plays a moderating role in the relationship of perfectionism to procrastination.

2. Research method

2.1 Participants

In order to explore the impact of perfectionism on procrastination and the role of self-control in college students, researcher used the convenient sampling method. The research subjects

chose college students because they were relatively mature at the university stage. Yu [30] believes that at this stage, it is more important that college students include self-control at the level of life development. Secondly, outstanding college students are elites in social roles, playing an exemplary role for peers of the same age and non-peer age. Thus, the mother group of the research object is college students in Henan Province. In this study, 150 samples were taken during the pretest phase and 300 samples were taken during the formal test phase. The participants in our sample were 198 males and 102 females. The sample had 20.3% of freshmen, 27.3% of sophomores, 26.7% of juniors, 18% of seniors and 7.7% of graduates.

2.2 Instruments

This study used a questionnaire survey. Based on the literature theory and research framework, a questionnaire was designed for college students' procrastination, perfectionism, and self-control. Samples were taken and filled out to understand the impact of college student perfectionism on procrastination and the role of self-control. The questionnaire was filled anonymously, and all participants answered in full. In order to test the reliability of the scale, the researcher used the internal consistency coefficient to judge the reliability and the Confirmatory Factor Analysis (CFA) to measure the validity of the scale.

Pure Procrastination Scale (PPS). Steel [31] compiled this scale in order to measure individual procrastination behavior. The scale has 12 items in total and it uses the Likert 5-point scoring method, and scores 1-5 from *very inconsistent* to *very consistent*. Higher values indicate more severe procrastination. For the procrastination scale in this study, Cronbach's α is .95. The CFA results showed that $\chi2 / df = 2.58$, RMR = .05, RMSEA = .10, GFI = .86, NFI = .91, IFI = .94, CFI = .94, PNFI = .74, PGFI = .60, indicating that the model is acceptable. For that reason, it can be judged that PPS has good reliability and validity, which is suitable for measuring the procrastination of college students.

Positive and Negative Perfectionism Scale (PANPS Chinese revision). The scale uses the perfectionism two-component theory to measure the perfectionism of college students [32]. Positive perfectionism mainly involves expectations of achievement, competition, and ability, as well as the positive emotions experienced by individuals for achievements and challenges. Negative perfectionism mainly involves emotions caused by failure to meet others or positive expectations, and the guilt associated with disappointing, being evaluated, and living up to expectations. There are 25 items in this scale, using a 5-point Likert-style scale. Among them, there are 12 items for positive perfectionism and 13 items for negative perfectionism. A higher score indicates a higher perfectionist tendency. In this study, the perfectionism scale's Cronbach 's α is .93. And the CFA results showed that $\chi2/df = 2.04$, RMR = .12, RMSEA = .08, GFI = .81, NFI = .84, IFI = .91, CFI = .91, PNFI = .70, PGFI = .61, which basically meets the

standard, indicating that the model is acceptable. And the scale has good reliability and validity.

Self-control Scale (SCS). The Self-Control Scale used in this study is currently the most widely used scale for measuring self-control (Tangney, Baumeister, & Boone, 2004)[33]. The scale has two versions, the full version and the simplified version. This study used a simplified version with 13 items. Items are self-scored on 5-point Likert-style scales ranging from *totally inaccurate* (1) to *totally accurate* (5). The higher the score is, the stronger the self-control ability has. In this study, Cronbach's α reached to .93 in the self-control scale and results of CFA showed that $\chi2$ / df = 1.79, RMR = .06, RMSEA = .07, GFI = .89, NFI = .88, IFI = .94, CFI = .94, PNFI = .65, PGFI = .59, indicating that the model is acceptable.

Table 2 listed the relevant data of the validity of this study questionnaire including Construct Reliability (CR) and Average Variance Extracted (AVE). Each variable's CR is above 0.7 and AVE is above 0.5 [34]. The diagonal value is the square root of AVE.

Table 2. Means, Correlations, and Reliability of all Perfectionism, Procrastination and Self-Control

	Perfectionism	Self-control	Procrastination
Perfectionism	.709		
Self-control	.865***	.731	
Procrastination	-.639***	-.572***	.786
M	2.497	2.496	3.254
SD	.916	1.055	1.244
CR	.952	.951	.963
AVE	.503	.534	.618

***p＜.001*

3. Results and analysis

3.1 Regression analysis

This study is a self-administered questionnaire. To avoid common method variation (CMV), the researcher put all items in one factor and used AMOS 24.0 for analysis. The analysis results showed that the model fits index $\chi2$ / df = 4.708, p = .000, RMR = .187, RMSEA = .111, GFI = .336, NFI = .679, IFI = .729, CFI = .728, PNFI = .651, PGFI = .309, failed to meet the standard, indicating that the model fits poorly. Therefore, there is no common method biases problem in the data.

In order to verify the prediction effect of Hypothesis 1 perfectionism on the procrastination, the researcher used SPSS 23.0 for regression analysis. The results were shown in Table 3: Independent variable perfectionism can negatively predict procrastination (β =-. 639, p = .000), videlicet, perfectionist individuals will reduce their procrastination behavior because they pursue perfection. Positive perfectionism (β =-. 474, p = .000) can negatively predict

procrastination, which means that the active perfectionist does not procrastinate because of their positive attitude. Negative perfectionism (β =-. 175, p = .135) cannot predict procrastination, so in this study, college students' negative perfectionism cannot predict procrastination. On the other hand, it also showed that the perfectionism of this research group is more inclined to positive perfectionism.

Table 3. Regression Analysis Model of the Prediction Effect of Perfectionism, Positive and Negative Perfectionism on Procrastination.

Variable	Dependent variable: Procrastination					
	β	SE	t	VIF	R^2	F
Positive Perfectionism	-.474	.150	.000	6.837	.409	102.683***
Negative Perfectionism	-.175	.165	.135			
Perfectionism	-.639	.061	.000	1.000	.408	205.419***

***p＜.001

3.2 Regulatory analysis

In this study, model 1 in PROCESS 3.4 for SPSS was used as a test tool for moderating effect. The non-percentile bootstrap method based on bias correction repeated 1,000 samplings and centralized all continuous variables. Table 4 showed the results of the calculation. The constant term has a significant positive impact on the dependent variable procrastination (β = 3.540, p = .000). The regression coefficient of independent variable perfectionism on the procrastination is β =-. 356, p = .061, the regression coefficient of moderator self-control is β =-. 107, p = .305, and regression coefficient of the interaction between perfectionism and self-control is β =-. 343, p = .004, which has a significant negative prediction. So, self-control has a moderating effect.

Table 4. Regression Summary Relating Procrastination to Perfectionism, Self-control, and their Interaction.

Variables	Dependent Variable: Procrastination			
	β	se	t	p
constant	3.540	.113	31.332	.000
Perfectionism	-.356	.189	-1.881	.061
Self-control	-.107	.104	-1.027	.305
Interaction	-.343	.119	-2.891	.004
R^2			.426	
F			76.130	

Because the three variables in this study are continuous variables, the Johnson-Neyman method is used to make the moderating effect graph [35]. This picture associated procrastination with perfectionism, self-control, and their interactions, and further analyzed the moderating effects of self-control (See in Figure 1). The middle straight line represents the regression slope, and

the upper and lower curves represent the 95% CI upper limit and 95% CI lower limit, respectively. When the regression coefficient of self-control reaches .030, the moderating effect starts to appear. Consequently, only a slope greater than .030 indicates that the self-control has the adjustment effect, and the adjustment effect of the self-control is the inhibition effect. That is, under the control of self-control, the less procrastinating behavior of individuals with high perfectionism.
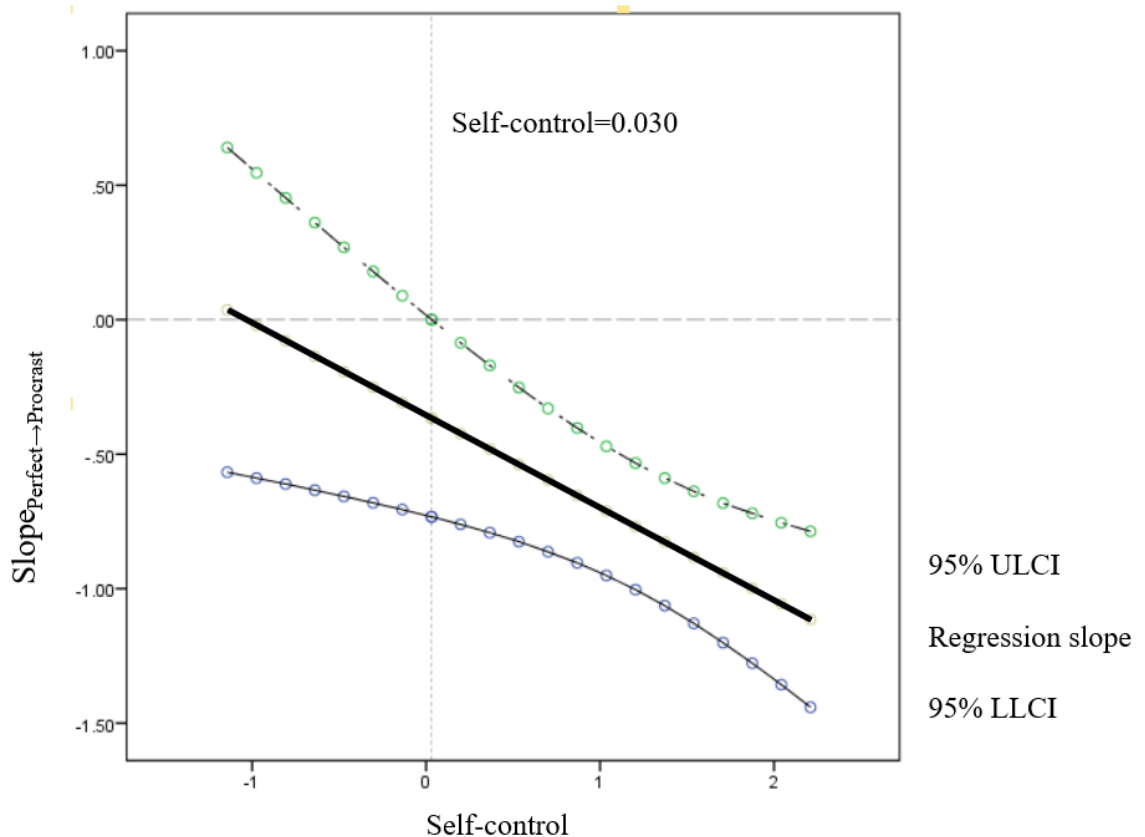
Figure 1. Johnson-Neyman Graph for the Model relating Procrastination to Perfectionism, Self-control, and their interaction. Notice the effect of perfectionism on Procrastination is significant only for Self-control greater than .030.

4. Discussion

This study explored the effects of perfectionism on procrastination and the moderating role of self-control in college students. Overall, the findings are consistent with the research hypothesizes. College students' perfectionism can predict the procrastination behavior. Positive perfectionism has a significant predictive effect on procrastination. Negative perfectionism has no significant predictive effect on procrastination. Moreover, self-control has an inhibitory regulatory effect. Under the control of self-control, college students with a higher tendency to perfectionism have less procrastination.

These findings are similar to previous studies. The data of this study showed that there is a negative correlation between procrastination and perfectionism, that is, perfectionists avoid procrastination. Krohne [36][37] proposes that the avoidance is due to individuals not allowed to appear in this situation relationship. Closson and Boutilier [38] conclude that the perfectionist tendency of college students may cause delays, but perfectionism is not a single factor that causes delays. For this reason, future researchers can explore multiple factors that affect procrastination, such as responsibility, bobbies, duties. Burnam, Komarraju, Hamel, and Nadler [39] obtain that college students with high perfectionism tend to show a lower tendency to procrastinate, which is consistent with the findings of this study. And college students with less delay usually don't spend too much time on other things that have nothing to do with study, which can indicate that they have good self-control ability. Klassen, Krawchuk, and Rajani [40] attain that severely procrastination spend more time on other less efficient tasks every day, and they also delay the start of tasks and have higher delay rates, because this group of people does not have higher self-control. According to the conclusions of this study, procrastination is greatly suppressed under the control of high self-control. It revealed that when high perfectionism and high self-control occur simultaneously in an individual, the behavior of procrastination will be effectively controlled. And that posed a challenge to subsequent studies, as this study proved that low self-control has no moderating effect on procrastination. In the future, researchers should pay attention to people with low self-control ability and explore what factors can alleviate the procrastination. However, this study did not draw the procrastination of the negative perfectionism, which may be related to the test subjects. Future researches should strive to consider the procrastination of the negative perfectionist groups in order to enrich the relevant academic research.

In short, as perfectionism is a personality characteristic formed in the process of individual growth, whether it is a perfectionist, teachers or psychologists can cultivate students' level of self-control and achieve the purpose of inhibiting students' procrastination. Procrastination does not occur for everyone, psychologists should provide targeted training for procrastination groups. Especially for the prolonged population in high perfectionism, training self-control and improving their level will be able to maximize the prolonged intervention in the conclusions of this study.

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Factors Associating Teachers' Turnover Intention in Wangdue Phodrang District in Western Part of Bhutan

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Abstract

The purpose of the study was to investigate the level of job satisfaction factors, organizational factors and teacher's turnover intention, examine the relationship between job satisfaction factors, organizational factors and teacher's turnover intention and to investigate the predictors on teachers' turnover intention as perceived by teachers teaching in Wangdue Phodrang district in western part of Bhutan. This study used quantitative method and survey questionnaire were used to collect data from 204 sample teachers, Descriptive statistical analysis, Pearson's product moment correlation coefficient and linear regression analysis were applied to analyze the data. The findings indicated that the overall turnover intention of the teachers were rated moderate with the mean score of 2.69 and the overall job satisfaction factors and organizational factors' impact on turnover intention were perceived at high level with the mean score of 3.6. The finding also shows that both job satisfaction factors and organizational factors have correlation but negatively and statistically significant at 0.01. Furthermore, the finding predicted that working environment and incentives were two factors that can influence the teachers' turnover intention statistically significant at 0.01 level (β-.26 and β-.16) respectively. Result indicates that the working environment could predict 11% of teachers' turnover intention followed by the incentives which could predict 14% of the influence on teachers' turnover intention. With the teachers perception, it was indicated that better remuneration should be worked out, Conducive work place need to be created, providing career opportunities and out country trainings, timely support from the organization and motivation and rewards would reduce teachers' turnover intention. Further, it was suggested that the working environment and incentives play pivotal roles on teachers' turnover intention signifying the priority needs in those areas to reduce teachers' turnover intention for quality teacher retention.

Keywords: Job Satisfaction, Organizational Factors, Turnover Intentions

1. Introduction

Every worker who feel undervalued and unappreciated may consider leaving their jobs for something else. The job satisfaction of teachers is vital. The value of education is equally undeniable for the socio-economic development of the country. It is very important to provide teachers with the facilities so that they must be satisfied with the status of their job. Better

performance of teachers can only be expected if they are satisfied with their jobs [7].

Schools may have fabulous facilities, state of the art equipment, tremendous resources and very highly motivated students but at the end of the day without the contented teachers it will not go very far as If teachers are not delighted, if they don't have a charm in what they are doing, without the teachers who enjoy teaching, who have fun with teaching, who celebrate teaching, we will not be able to reach the goals of education (Powdel, 2012).

Teaching has rarely been a popular job among young people in Bhutan. Except for a handful of those with a genuine interest in the noble service, the majority of the teacher candidates were drawn in more by circumstance than by interest and teachers in Bhutan are also being stretched to the limit. Expectations placed on them seem to be exponentially expanding. Their roles encompass not only teaching specific content and mentoring learners in the love of learning, but functioning as frontline social workers who are expected to produce what we call wholesome citizens [4].

The researcher was drawn interest to study on problem's associating the teacher's turnover intention in the schools and choose to conduct the research to the school teachers of Wangdue Phodrang District in western Bhutan. The focus was on the teacher's in above mentioned District as the number of teacher shortage was always a concern due to the more number of teachers resigning on voluntary basis as well as teacher changing their profession to other jobs. The findings indicates that teachers perception to look for better opportunities as well as intention to quit the job were generally prevail in those schools under Wangdue Phodrang District since 2016-2018, as per the district annual education statistic [2].

Thus, this field of study attempted to study the issues by exploring the psychological perception of the teachers on their profession that makes their job unattractive, the strategies to build high morality of their profession and explore the various factor influencing teacher's commitment and turnover intentions in their profession from the perspectives of real field workers through descriptive study of a sample of teachers from various schools under Wangdue Phodrang District.

The study also focused on exploring the motivational ambiences leading teachers to retain in their profession for the better service. It was at the eye sight that most of the Bhutanese teachers are not really interested to serve as a teacher if given better opportunities and love to leave the teaching fraternity in search of better opportunities. Therefore, in the light of above mentioned statements, the researcher intended to study the factors associating teacher's turnover intentions of the sample teachers teaching in the schools of Wangdue Phodrang district in Bhutan. With

the increasing number of teachers leaving the profession which hampers the quality service delivery to the schools, it became significant to study the factors influencing teacher's turnover intention. The study was intent to find out the level of teacher's turnover intention and impact level of factors on teachers' turnover intention as perceived by teachers.

Further, it intends to examine the correlation amongst organizational factors, job satisfaction factors and find the predictive factors on teachers' turnover intention and retention strategies in teaching profession in the schools of Wangdue Phodrang District, although several research has been conducted on teachers job satisfactions as well as teacher retention, the intended study of this researcher was never been studied in Bhutan, hence the researcher was drown interest to study this particular topic for the first time in the era of teacher education in Bhutan.

2. Research Objectives

A. To find out the level of job satisfaction factors, organizational factors and teacher's turnover intention as perceived by teachers of Wangdue Phodrang district in western part of Bhutan.

B. Examine whether there are any relationship between job satisfaction factors, organizational factors and teacher's turnover intention in Wangdue Phodrang District in western part of Bhutan.

C. To investigate the predictors on Teachers' turnover intention as perceived by the teachers in Wangdue District in western part Bhutan.

3. Scope of the study

A. Location of the study: This study focused on the teacher's under Wangdue Phodrang District since the teacher turnover was drastically increased over the past few years in this particular district.

B. Population and Sample: The population of the study comprises of 411 teachers with 204 teachers selected for sample size.

C. Methodology: The quantitative research methodology was used for this study. The research instrument (questionnaires) were used to collect data.

D. Time frame: The research was conducted from 7th August 2019 to 30 June 2020 with the total period of one year.

E. Variables: There are two independent variables in this study such as job satisfaction factors (incentives, working environment, job advancement and job recognition) and organizational factors (organizational support, institutional management and leadership impacts). Teacher turnover intention (Perceived Desirability of Movement and Perceived Ease of movement) is dependent variable.

4. Conceptual Framework

The conceptual framework was developed by incorporating the variables from diverse concepts of teacher turnover intention from literatures such as books, theories, and journal related specifically to teacher's turnover intention.

The concept of March and Simon's Theory of Organizational Equilibrium (1958) which includes perceived desirability of movement caused by job satisfaction and perceived ease of movement caused by organizational alternatives were incorporated with Herzberg's Two-Factor theory to develop independent variables as job satisfaction factors and organizational factors.

Relationship between employee's input and organisation's output plays vital role in determining turnover intention. Therefore, Adams Equity Theory (1965) was considered to construct dependent variable as turnover intention as shown in figure

Job satisfaction Factors

- Incentives

- Working Environment

- Job Advancement

Organizational Factors

- Organizational support

- Institutional Management

- Leadership impact

Teacher's Turnover Intention

- Perceived Desirability of movement

- Perceived Ease of movement
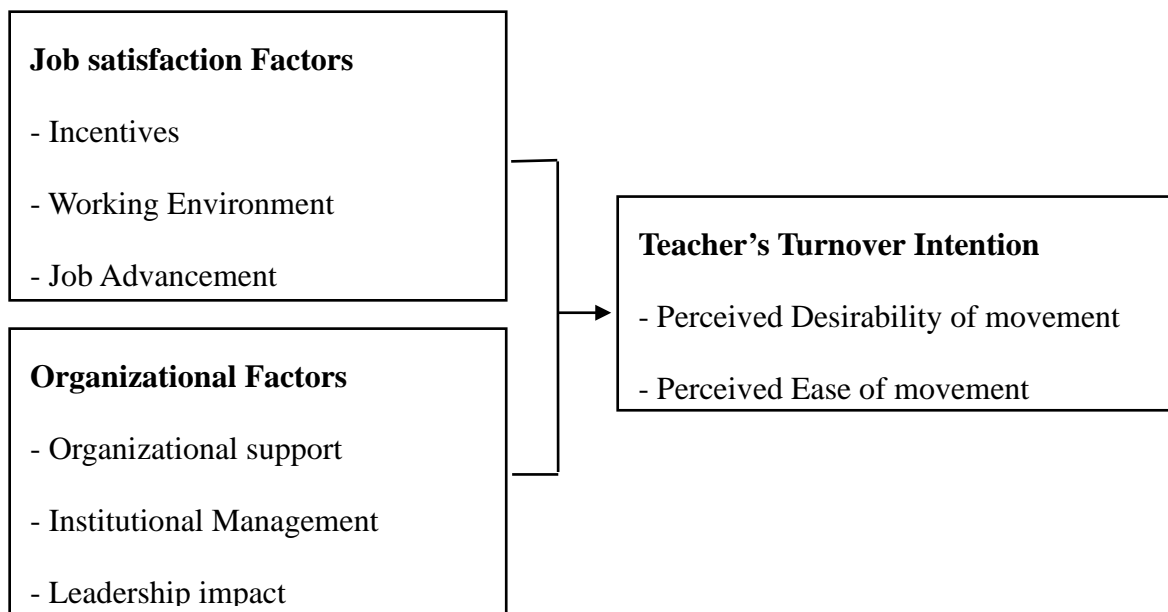
Figure.1 Research framework

5. Research Design

This study design to examine the factors associating teachers' turnover intention in Wangdue Phodrang district in western part of Bhutan. A descriptive study was carried out and used survey questionnaire to collect the data from the teachers.

5.1 Population Sample and Sample Method

In Wangdue Phodrang district there are 21 primary schools, 1 lower secondary school, 3 central school and 1 higher secondary school with 411 teachers serving in various schools according to Annual District statistic 2018. Therefore the population size of the study consist of 411

teachers who are currently serving in the schools. The sample size of this study was calculated by using the Taro Yamane formula (Yamane, 1967). The population number were 411 teachers and sampling error was allowed at 0.05.

5.2 Sampling Method

Used proportional sampling methods to distribute sample equally followed by simple random sampling using a method of drawing a lottery from allotted numbers of sample from each schools.

5.3 Research Instruments

The researcher used the survey questionnaire based on the concept from Gert Roodt (2004) as well as researcher self-administered using Likert scale for the construction of the questionnaire consist of 4 parts as follows;

    A.   General Information.
    B.   Turnover Intention questions.
    C.   Job Satisfaction factor's influence on turnover intention questions.
    D.   Organizational factor's influence on turnover intention questions.

5.4 Statistics and Data Analysis

    A. The descriptive statistics like percentage, mean and standard deviation was used to present the general information of the teachers of the schools in Wangdue district in western part of Bhutan.

    B. Mean and standard deviation was used to find out the level of Teacher's turnover intention and impact level of job satisfaction factors and organisational factors on turnover intention as perceived by the teachers teaching in Wangdue Phodrang District in western part of Bhutan.

    C. The Pearson's correlation coefficient (PCC) was used to analyse the relationship between job satisfaction factors and organization factors with teacher's turnover intention as perceived by the teachers teaching in Wangdue Phodrang District in western part of Bhutan.

    D. The predictive factors from both the job satisfaction factors and organisational factors that can predict teacher's turnover intention was analyzed by step wise multiple regression analysis (MRA).

5.5 Gaining Access

Prior to the commencement of the study, formal consent was sought from Ministry of Education,

and subsequently informed the Dzongkhag Education Officers and the principals of the selected schools. Consent from each of the participants was also obtained before distributing the survey questionnaire.

5.6 Ethical Issues

This research identified and observed all potential ethical issues. First, a written permission was sought from the Ministry of Education, and other stakeholders such as school principals. The confidentiality has been maintained throughout the whole process of research as well as after the research.

6. Findings of the research

1. Level of job satisfaction factors, organizational factors and teacher's turnover intention as perceived by teachers of Wangdue Phodrang district in western part of Bhutan.

According to the findings from the study, it was concluded that the general overall influential level of job satisfaction factors and organizational factors on turnover intention as perceived by teachers of Wangdue Phodrang district was found at high level with the average mean score of 3.68.

Table 1 Level of job satisfaction factors ($n = 204$)

Independent Variables	$\bar{x}$	SD	Perception level
Job Satisfaction Factors			
Incentives	3.70	0.60	High
Working Environment	3.70	0.59	High
Job advancement	3.16	0.53	Moderate
Job Recognition	3.61	0.47	High
Total	3.54	0.55	High
Organizational Factors			
Organizational Support	3.74	0.46	High
Institutional Management	3.55	0.64	High
Leadership Impact	4.14	0.47	High
Total	3.81	0.52	High
Overall Influence on Turnover Intention	3.68	0.53	High

Note: The rating scale was divided into 5 impact level to the mean score from 4.21 – 5.00 as Highest, 3.41 – 4.20 as High, 2.61 – 3.40 as Moderate, 1.81 – 2.60 as Low and 1.00 – 1.80 as Lowest.

The finding also states that influence of organizational factor was found little bit higher than influence of job satisfaction factors with the total mean score of 3.68 and 3.54 respectively. Subsequently the study examined that Incentives and Working Environment's influence on turnover intention was found at the highest level among the components of job satisfaction factor falling under high range mean score of 3.70 while the impact of Job Advancement on turnover intention was at least level with the moderate range mean score of 3.16. With regard to the organizational factor's influence when all the components were considered, leadership impact was highest with mean score of 4.14 while influence of institutional management was at the least with the mean score of 3.55.

he turnover intention was measured based on two dimensions of movement like perceived desirability of movement and perceived ease of movement.

Table 2 Level of job turnover intention ($n = 204$)

Overall turnover intention	$\bar{\text{x}}$	SD	Perception level
1. Perceived Desirability of Movement	2.85	0.96	Moderate
2. Perceived Ease of Movement	2.53	0.96	Moderate
Overall turnover intention	2.69	0.96	Moderate

Note: The rating scale was divided into 5 perception level to the mean score from 4.21 – 5.00 as Highest, 3.41 – 4.20 as High, 2.61 – 3.40 as Moderate, 1.81 – 2.60 as Low and 1.00 – 1.80 as Lowest.

According to the findings of the study, it was concluded that the general overall turnover intention of the teachers was found at moderate level with the average mean score of 2.69. it was also concluded that level of Perceived Desirability of Movement was found little bit higher than Perceived Ease of Movement with the total mean score of 2.85 and 2.53 respectively.

2. The relationship between job satisfaction factors and organization factors with teachers' turnover intention

The relationship between job satisfaction factors and organization factors with teachers' turnover intention was measured through Pearson product-moment correlation coefficient.

Table 3 Summary of Pearson correlation coefficient

Variables	I	WE	JA	JR	OS	IM	LI	TI
Incentives	1							
Working Environment	.34**	1						
Job advancement	.26**	.37**	1					
Job Recognition	.32**	.29**	.39**	1				
Organizational Support	.39**	.27**	.20**	.43**	1			
Institutional Management	.23**	.42**	.29**	.58**	.30**	1		
Leadership Impact	.23**	.28**	.21**	.37**	.55**	.33**	1	
Turnover Intention	-.28**	-.32**	-.20**	-.13	-.15*	-.26**	-.17*	1

$**p < 0.01$, $*$ $p < 0.05$
**. Correlation is significant at the 0.01 level (2-tailed).
 *. Correlation is significant at the 0.05 level (2-tailed).

According to the finding, job satisfaction factors and organizational factors have a correlation with turnover intention but negatively. Further, the study examines that from job satisfaction factor, incentive, working environment and job advancement have a negative correlation coefficient with turnover intention with -.28, -.32 and -.20 respectively with statistically significant at the 0.01 level and job recognition was found to have no correlation with -.13 even though statistically significant at the 0.05 level.

It was also concluded that from the organizational factor, institutional management have negative correlation coefficient with turnover intention with -.26 statistically significant at the 0.01 level where as organizational support and leadership impact have negative correlation coefficient with turnover intention with -.15 and -.17 respectively showing statistically significant at the 0.05 level.

3. The working environment and Incentives as predictive factors of teachers' turnover intention

Table 4 Summary of regression analysis

Variables	β	t	R	R^2	F	R^2change	F change	R^2adjusted
Working Environment	-.26	-3.71	.32	11	22.91	.102	22.91	.10
ncentives	-.19	-2.70	.37	14	15.44	.031	7.27	.13

 a. Predictors: (Constant), WE
 b. Predictors: (Constant), WE,I
 c. Dependent Variable: Turnover Intention
 Note: coefficient is significant <0.01
 Constant= 8.5

As per the finding from the study, it was examined that the working environment was the first factors could predict on the teachers' turnover intention in Wangdue Phodrang district in western part of Bhutan at the statistically significant level of 0.01 (β-.26). The working environment could predict 11% of teachers' turnover intention with the statistically significant at the 0.01 level.

The second factor that had influence on the teachers' turnover intention in Wangdue Phodrang district in western part of Bhutan was incentives. Through the findings from the study, it was revealed that the incentives can predict the teachers' turnover intention at (β-.16) with statistically significant at the 0.01 level meaning the working environment when combined with incentives could predict 14% of the teachers' turnover intention.

Thus the finding result examined that the incentives could increase only 3% of the prediction determining turnover intention of the teachers teaching in Wangdue Phodrang district in western part of Bhutan little bit lower than the first predictor i.e. working environment.

7. Discussions

The first objectives of the study was to determine job satisfaction and organisational factor's influence on turnover intention as perceived by the teacher's teaching in Wangdue Phodrang district in western part of Bhutan.

The findings of the study revealed that the influential level of job satisfaction factors and organisational factors on turnover intention were at high level with the mean score of 3.54 and 3.81 respectively.

The influence on turnover intention when compared with two factors, influence by organizational factor was found little bit higher than influence by job satisfaction factors with the total mean score of 3.68 and 3.54 respectively. This study also associates with the findings of Gasinzi, Jesse & Makewa (2013) that stated the nature of school infrastructure, the amount of salary, professional status, level of achievement, opportunities for further learning, relations with others, the type of school policies and leadership and working conditions led to increase job commitment and lower turnover intentions.

The study also found out that the overall turnover intention were shown at the moderate level with the mean score of 2.70. This shows that the teacher's in general were moderately intensified to serve as a teacher, so if given the ample opportunities will expect in turnover intention.

This finding was consistent with the findings of Ahmad and Azumah [1] which defines the management effort to maintain an equitable work environment as the retention strategies to prevent turnover intentions. While the findings of Arat [3] contradicts as he reported that the monetary incentives have high influential power to reduce the turnover intention than non-monetary incentives.

The Second objective of this study was to find the relationship between job satisfaction factors and organization factors with teachers' turnover intention. The finding revealed that there was a correlation between job satisfaction factors and organizational factors with turnover intention statistically significant at 0.01 level and 0.05 level simultaneously, however, it was revealed that one item from the job satisfaction factor was found to have no significant correlation.

The findings from this study is consistent with the findings of Rahman, Naqvi, and Ramay [8] who found that job satisfaction, organizational commitment and perceived alternative job opportunities for having negative correlation with a dependant variable i.e. turnover intention among the IT Professionals in vicinity of Rawalpindi and Islamabad, Pakistan.

The third objective of the study was to find out the predictors on teacher's turnover intention and it was confirmed that working environment and incentives are the predictors.

Through the statistical linear regression analysis, it was found that the working environment was the first factors that had influence on the teachers' turnover at (β-.26). The working environment could predict 11% of teachers' turnover intention with the statistically significant at the 0.01 level.

Subsequently, the second factor that had influence on the teachers' turnover was incentives. Through the result demonstrated it was found at (β-.16) with statistically significant at the 0.01 level. Working environment combined with incentives could predict 14% of the teachers' turnover intention. It showed that the incentives could increase only 3% of the prediction.

The findings coincides with the findings of Henkins, Holliman, and Horg (2009) that shows the working condition as one of the important predator on turnover intention with the result drawn as the working condition (independent variable) has a negative and inverse relationship with teacher turnover intention (dependent variable).

8. Implication

8.1 To the Ministry of Education

Help to come up with new approaches and strategies to make the working environment adequate and conducive, better incentives to the teachers as well as strengthening organisational management policies, and organisational commitments.

8.2 To the District Education Office

Recommend timely review and moderation of the teachers, transparency of the teacher deployment and recruitment and fair transfer system with systematic approaches and timely monitoring, guiding and motivating through collaborative support to the teachers.

8.3 To the school administration head

Recommend Principals to maintain high impact leadership quality with integrity, transparency, accountability and fair and equity to show professionalism.

8.4 To the teachers

Recommend teachers to come up with innovative and creative ideas to create conducive learning environment through unity rather depending on relevant stakeholders to implement and researcher would urge the teachers that children enjoy improvised teaching learning materials rather concrete ones, so teachers can use their creativity and innovation to create improvised teaching learning materials rather depending on the materials provided by schools.

8.5 For the further studies

The study was mainly based on the perceptions and judgements of the teacher's teaching in one particular district, therefore, further studies should include the teachers throughout the country so that result may apply to all the teachers of Bhutan.

The future researchers could also replicate the study by using mix-method for further validation.

The present research finding is totally based on public school teachers so a comparable investigation can be piloted for private school teachers in order to make a comparative analysis.

9. Conclusion

The influential level of two independent variables (job satisfaction factors and organisational factors) on teacher's turnover intention as perceived by the teachers teaching in Wangdue Phodrang district in western part of Bhutan was analysed based on four dimensions of job satisfaction factors like incentives, working environment, job advancement and job recognition and three dimensions of organizational factors such as organizational support, institutional management and leadership impact.

According to the findings from the study, it could be concluded that the general overall influence of job satisfaction factors and organizational factors on turnover intention as perceived by teachers of Wangdue Phodrang district was found at high level with the average mean score of 3.68. The finding also states that the influence of organizational factor was found little bit higher than influence of job satisfaction factors with the total mean score of 3.68 and 3.54 respectively.

The finding also concluded that the general overall turnover intention of the teachers was found at moderate level with the average mean score of 2.70. it was also concluded that level of Perceived Desirability of Movement was found little bit higher than Perceived Ease of Movement with the total mean score of 2.86 and 2.54 respectively.

The relationship between job satisfaction factors and organization factors with teachers' turnover intention was measured through Pearson product-moment correlation coefficient. According to the finding, job satisfaction factors and organizational factors have a correlation with turnover intention but negatively.

As per the finding from the study, it was examined that the working environment was the first factors could predict on the teachers' turnover intention in Wangdue Phodrang district in western part of Bhutan at the statistically significant alfa level of 0.01 (β-.26). The working environment could predict 11% of teachers' turnover intention with the statistically significant at the 0.01 level.

The second factor that had influence on the teachers' turnover intention in Wangdue Phodrang district in western part of Bhutan was incentives. Through the findings from the study, it was revealed that the incentives can predict the teachers' turnover intention at (β-.16) with statistically significant at the 0.01 level meaning the working environment when combined with incentives could predict 14% of the teachers' turnover intention.

Thus the finding result examined that the incentives could increase only 3% of the prediction determining turnover intention of the teachers teaching in Wangdue Phodrang district in western part of Bhutan little bit lower than the first predictor i.e. working environment.

10. Acknowledgement

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Effects of Teachers' Professional Development on Teacher Performance in Primary schools of Chhukha district, Bhutan

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Abstract

The study aimed to study the level of teachers' professional development and teacher performance, to explore the relationship between teachers' professional development and teacher performance, to investigate the relationship between teachers' professional development and teacher performance, and to investigate the effects of teachers' professional development on teacher performance in primary schools. The study adopted quantitative research using survey design through questionnaires. The sample were 126 teachers from 25 primary schools under Chhukha district in Bhutan. The data was analyzed using descriptive statistics, Pearson's correlation, and stepwise multiple regression analysis. The research findings revealed that teachers' professional development and teacher performance were at very high level and there was significant positive correlation between teachers' professional development and teacher performance. Action learning and In-service training/workshop were indicated as the predictive factors which had the greater significant effect on teacher performance. The research findings will support ministry of education, district education offices, school principals, head of department in schools, and individual teachers in the country to reflect on improving the nature of teachers' professional development and in creating positive environment with better quality of professional development programs in the schools.

Keywords: Teachers' professional development, In-service training, Action learning, Teacher performance, Classroom management

1. Introduction

Bhutan is one of the smallest nations who shares the geographical boundaries with two dynamic leading countries of the world, China in the north and India in the south. Over the past several decades education took a vigorous changes and reforms under dynamic leadership of successive kings with several help from international supports and now it has expanded up to about 880 schools and other educational institutions in every nook and corners of the country by 2018. Education is an essential part of bringing about a desired change in knowledge, skills and character of an individual in the entire nation. A person who figures out this whole process of education and plays a major role in developing the society is the teacher. Teaching is a

challenging profession for it is the teacher who guide the students to develop, progress and achieve their dreams in building the nation in future [5]. Therefore, schools cannot provide quality education without improving the skills and abilities of the teachers within them. The policy statement of Teacher Human Resource Management- 5.1.3 mandated that every teacher shall receive a minimum of 80 hours need-based professional development program in a year where 40 hours shall be conducted by ministry of education and rest 40 hours is decentralized to individual districts and schools [9]. The book- Workplace Learning and Development [2] suggested lots of alternatives for learning methods and ways of developing individuals which are flexible approaches to teachers' professional development in schools. Education landscape is changing very fast in this 21ˢᵗ century world, yet education stakeholders need to consider more importance in teacher professional development and take advantage of best practice in the teaching learning process. The Ministry of Education needs to devise innovative measures to address the need for professional development of primary school teachers. This would mean making it mandatory for all teachers to attend at least one such course at least every two years [16]. Therefore, the performance of the teacher cannot be compromised without consistence in professional development. It has been noted that ministry of education spent a lot on professional development of teachers yet it's impact and effects are still unknown and it is also observed that there is a need of finding out need based analysis of teachers' professional development in primary schools as well as in classes VII- XII.

As a matter of fact, every teacher avails the opportunity to attend or conduct 40 hours of professional development in school through various learning styles yet there needs to be studied on its relationship towards teacher performance particularly in primary schools as; primary teachers are considered to be having the lowest qualification in the teaching field, they just have Bachelor's Degree in primary curriculum and some even just have the diploma certificate in teaching. Teachers have multiple responsibilities to be carried out in the school as the school has to be run by few numbers of teachers with classes ranging from pre-primary to glade VI. Therefore, the aim of this study was to find the level of professional development programs and its effect on teacher work performance in primary schools. This will further inform the teacher human resource management division under ministry of education to look for further improvement in teacher development policy and school managers to create a better time and positive environment with quality professional development programs in the school.

1.1 Research Objectives

1) To study the level of teachers' professional development and teacher performance in Primary schools under Chhukha district in Bhutan.
2) To investigate the relationship between Teachers' Professional Development and Teacher Performance in Primary Schools under Chhukha district in Bhutan.

3) To investigate the effects of Teachers' Professional Development on Teacher Performance in Primary schools under Chhukha district in Bhutan.

1.2 Conceptual Framework

The study was focused on teachers of primary schools under Chhukha district in Bhutan to find out the relationship between teachers' professional development and teacher performance, and further investigated the effects of teachers' professional development on teacher performance. The researcher set up the conceptual framework as follows with independent variable teachers' professional development and dependent variable teacher performance:

Teachers' Professional Development	**Teacher Performance**
1 In-service Training/workshops	1. Teacher's Instructional practice
2 Action learning	2. Classroom Management practice
3 Mentoring	3. Student Assessment
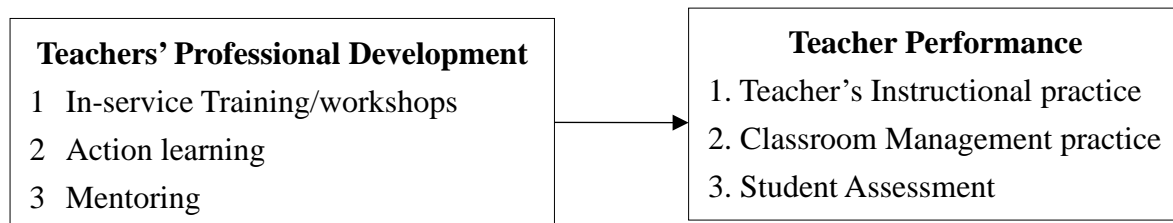
Figure 1 Research Conceptual Framework

2. Literature Review

Over the past decades, the concept of teacher professional development was subjected to knowledge and skills gained during training period at teacher training colleges as formal education. Currently, due to rapid reforms and shift in the education system, the term-professional development, is not only subjected to a few orientation programs and refresher courses alone and it has gone beyond the walls of training colleges. Niramitchainont [11] andKhan & Naseeb [6] had observed that professional development has changed from training to learning at any point of time and setting which is otherwise call as workplace learning with appropriate approaches, vision, determinations to grow professionally and as well with the level of interest from the teacher's side. Many researchers have observed that professional development for teachers create a room for teachers to enhance their knowledge, skills and it is a wonderful tool to achieve the best result in performance of the school. Therefore, individuals who have the heart of learning can constantly improve their knowledge, skills and become more proficient in their career.

2.1 Teachers' Professional Development

Promoting the professional development of in-service teachers is the widespread phenomena of every countries in the world. Every year, governments invest a large amount of money on continuous learning of teachers. To this note, the study was intended to investigate different aspects of teachers' professional development conducted through workplace learning and development in various primary schools. Teachers are considered to be the most effective and

completely active in achieving the goals of education through different level of schools, and they deserve access to sustainable, consistent, well-designed, effective and the best quality in-service professional development activities in every level of education which can be accessed through various types of organizational learning such as; short training courses, peer observations among colleagues, mentoring, action learning as a subject group and other professionally related activities for the teachers. All those workplace learning areas were derived from Clifford & Thorpe [2] and related to teachers' professional development in school system as school is the main workplace for every teacher where learning and development take place simultaneously. In-service professional development is seen as significantly important to quality education; it provides teachers with relevant, current and effective knowledge, skills, values and attitudes that can promote teaching and learning in school system which result in better academic performance of the learners.

According to Ruebling [14], action learning is said to be the best learning pedagogy for teachers at school which can be conducted in a subject group. The subject group can identify a particular problem and teachers as a team discuss and look for possible ways to deal with it in a short period of time. Hoge [3] considered that mentoring is another form of professional development usually designed for fresh teachers yet it can also build a strong and supportive relationship between teachers, usually between an experienced and less experienced teachers. Peer observations in a school system also helps teachers to enhance their quality of teaching through various pre-observation conferences and post-observation discussions (Sullivan et al., 2012). For classroom observation to occur frequently, school organization must create an environment where every teacher gets an opportunity to observed and to be observed among the colleagues or by head of department.

2.2 Teacher Performance

Performance is the quality and quantity of the accomplishment of tasks, either achieved by individuals, groups, or schools. Performance is used to highlight the manifestations of knowledge, understanding, and development of ideas, concepts, and skills that can be observed in different aspects such as teacher's instructional practices, managing the classroom, and assessing student's progress. The performance of teachers is said to be outstanding if and only if teachers are equipped with new teaching and learning methods, orient them with new curriculum changes, or provide them with greater level of knowledge on subject content and pedagogical skills through various aspects of teacher professional development to teach in new learning areas. It is found to be difficult to use the best method to improve the performance of our teachers, but it is never impossible. If we endeavor ourselves for the better teaching profession to achieve our goal for the better quality of education, we need to constantly seek, design, experiment, and evaluate better methods of performance appraisal. Therefore, this study

was intended to find the level of teacher performance based on three dimensions such as teacher's instructional practices, classroom management practices, and student's assessment which were derived from school Performance Management System under Education Monitoring Division, Department of School Education in Bhutan [20] and Teacher Performance Evaluation System [18].

2.3 Related research

The researchers have greater thoughts on professional development and its effect towards better performance of teachers. Teachers play a vital role in the field of education and seek to undergo professional development to enhance knowledge, skills, curriculum content, teacher behaviour in instructional and classroom management practices. According to Ayodele & Samantha [1], Maclean [8] and Ravhuhali *et al.* [13], professional development activities such as in-service training through cluster system had the positive and significant relationship between teacher learning, teacher growth, teacher needs, teachers' collaboration classroom management practices and work performance in the school. Teachers also recognized that there is a positive impact of professional development in broadening their content knowledge, teaching skills and strategies to further improve the learning culture of students. Therefore, the quality and relevant in-service programs were seen very necessary for the teachers.

3. Research Methodology

3.1 Research Design

The study adopted quantitative research with survey design in order to produce rich and strong description about teachers' professional development and teacher performance, to understand the relationship between teachers' professional development and teacher performance, and to investigate the effects of teachers' professional development on teacher performance in primary schools of Chhukha district in Bhutan.

3.2 Population and sample

The population of the study were 185 teachers working in 25 primary schools located in far flung places in Chhukha district. The researcher used simple random sampling method with Taro Yamane calculation. The sample for the study were 126 teachers working in 25 primary schools located in far flung places in Chhukha district.

3.3 Research Instrument

The instrument used in this study was survey questionnaire for teachers. The survey questionnaire consisted two parts. Part-I consisted general information of respondent and Part-II consisted the survey questionnaires for the teachers. Further, Part-II was divided into two

sections based on the variables, section-I had 32 items on teacher performance and section-II had 41 items on teachers' professional development. Each statement in both sections used Five-point Likert scale. In this study, overall Cronbach's Alpha for teachers' professional development and teacher performance had shown 0.91 and 0.88 respectively.

3.4 Data collection

The survey was conducted in the month of October 2019 through printed questionnaires on four aspects of teachers' professional development and three dimensions of teacher performance. The researcher conducted the survey by visiting the schools without interfering the normal teaching hours of teachers. The data collected were compiled for further analysis.

4. Data Analysis and Results

The descriptive statistics of teachers' professional development and teacher performance were analyzed using mean and standard deviation. The significance of relationship between teachers' professional development and teacher performance was analyzed using Pearson's correlation. The effective or predictive factor of teacher performance was analyzed using stepwise multiple regression analysis.

4.1 Descriptive statistics of Teachers' Professional Development in Primary schools of Chhukha district in Bhutan

Teachers' professional development had four aspects and the overall level of each aspects were shown as follows:

Table 4.1 The overall mean score and of Teacher Professional Development in Primary schools of Chhukha district in Bhutan. (n=126)

No.	Teachers' Professional Development	Mean	Std. Deviation	Level of Teachers' Professional Development
1	In-service Training/Workshop	3.72	.44	High
2	Action Learning	4.04	.57	High
3	Mentoring	3.73	.57	High
4	Peer Observation/Feedback	3.54	.53	High
	Average	3.76	.43	High

(**Note:** The rating scale was divided into 5 perception levels according to mean score from 1.00-1.80 = Very low, 1.81-2.60 = Low, 2.61-3.40 = Neutral, 3.41-4.20 = High, 4.21-5.0 = Very high).

From Table 4.1, it was revealed that the average mean score of Teachers' Professional Development in primary schools of Chhukha district was 3.76. The variable, Teachers' Professional Development had four dimensions in which the mean score varied from 3.54 to 4.04. The Action Learning had the highest mean score of 4.04, followed by Mentoring with 3.73, In-service training with 3.72 and finally Peer Observation/Feedback had the lowest mean score of 3.54.

4.2 Descriptive statistics of Teacher Performance in Primary schools of Chhukha district in Bhutan

Teacher Performance had three dimensions and the overall level of each dimensions were shown as follows:

Table 4.2 The overall mean score and standard deviation of Teacher Performance in primary schools of Chhukha district in Bhutan (n=126)

No.	Teacher Performance	Mean	Std. Deviation	Level of Teacher Performance
1	Teacher's Instructional Practices	4.35	.34	Very High
2	Classroom Management Practices	4.40	.37	Very High
3	Student Assessment	4.31	.35	Very High
	Average	4.35	.31	Very High

(Note: The rating scale was divided into 5 perception levels according to mean score from 1.00-1.80 = Very low, 1.81-2.60 = Low, 2.61-3.40 = Neutral, 3.41-4.20 = High, 4.21-5.0 = Very high).

The statistical analysis result presented in Table 4.2 revealed that the overall level of Teacher Performance in primary schools of Chhukha district was very high with the average mean score of 4.35. The dependent variable, Teacher Performance had three dimensions with different mean scores. Classroom Management Practices had the highest mean score of 4.40 followed by Teacher's instructional practices with 4.35 and Student Assessment had the lowest mean score of 4.31.

4.3 Relationship between Teachers' Professional Development and Teacher Performance

Pearson correlation was conducted to determine relationship between Teachers' Professional Development and Teacher Performance. The result of Pearson correlation between Teachers' Professional Development and Teacher Performance of primary school teachers under Chhukha district is given in table 4.3.

Table 4.3 Correlation between Teachers' Professional Development and Teacher Performance (n=126)

Research Variables	In-service Training/ workshop	Action Learning	Mentoring	Peer Observation/ Feedbacks	Teachers' Professional Development
Teacher Performance (TP)	.431**	.574**	.445**	.395**	.574**

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

As shown in Table 4.3, the main variables in the study were significantly correlated and can be said that there was a positive correlation between Teachers' Professional Development and Teacher Performance of primary schools under Chhukha district in Bhutan with **r** = .574 at significance level of 0.01. When considering every dimension, the finding showed that Action learning had the highest positive correlation with teacher performance at r=.574 followed by Mentoring with r=.445, In-service training/workshop with r=.431, and finally Peer observation/feedback had the lowest correlation with teacher performance at r=.395 with statistical significance at .001 level.

4.4 *Effective factor for Teacher Performance in primary schools of Chhukha district.*

This part confirmed the effective/predictive factors from teacher professional development that predict teacher performance of primary school teachers under Chhukha district in Bhutan. A step-wise model of multiple regression was conducted to test overall result for teachers' professional development and teacher performance.

Table 4.4 The effective/predictive factor of Teacher Performance.

Independent Variable	$\square$	t	R	R^2	R^2_{Change}	F	F_{Change}
Action Learning.	0.48	5.86***	0.57	0.33	0.33	60.87***	60.87***
In-Service Training/workshop	0.21	2.55*	0.60	0.36	0.03	35.05***	6.52*

The statistical analysis in table 4.12 revealed that the Action Learning was the first predictive factor that had been selected into the model and had the highest effect on Teacher Performance with statistically significant at .001 level ($\square$=0.48). The Action Learning could predict 33% of Teacher Performance with statistically significant at 0.001 level. In-Service training/workshop was the second predictive factor that had been selected into model and had effect on teacher performance with statistically significant at 0.05 level ($\square$=0.21). Action learning combined with In-service training/workshop could predict 36% of teacher performance with statistically significant at 0.001 level. It revealed that In-service training/workshop could increase only 3% of prediction.

From the above finding, it is evident that the Action Learning and In-service training/workshop are the most effective/predictive factor and have the high influence on teacher performance whereas other two dimensions in teachers' professional development such as Mentoring and Peer observation/feedback had been shown negligible effect on teacher performance in primary schools of Chhukha district in Bhutan.

5. Discussions

Every year, Ministry of Education conducts 40 hours (5 days) nation-wide training course/ workshop for teachers in the country on certain topics and 40 hours of other professional development activities such as mentoring, peer observations, action leaning in groups headed by head of departments are decentralized to the individual schools. In the school, professional developments are conducted at the stretch of 40-50 minutes in a week in different subject groups headed by their head of department and principals. Therefore, the findings of this study were discussed in relation to research objectives in the following ways:

5.1 Research Objective 1: To study the level of teachers' professional development and teacher performance in Primary schools under Chhukha district in Bhutan.

It is evident from this research findings that teachers have a good system of teachers' professional development practices in every primary schools so as to give a better performance in teaching and improve the academic performance of the students. It also revealed that the schools had an appropriate approach of teacher professional learning with the determinations of professionalism in the interest of all categories of teachers as similar to the findings of [6]. Moreover, it was revealed that professional development programs bring teachers together and build a strong relationships among colleagues. Smith [17] also supported this finding where it reported that where there are more professional development programs, there are more collegial relatioships through coaching, collaboration, networking and reflection. From the findings, it can be concluded that teachers have perceived that professional development is very crucial and important factor that lead to better performance in teaching and learning process which was further supported by the findings of Ravhuhali *et al*. [13], teachers recognized the impact of professional development in broadening their pedagogical and content knowledge, teaching skills and strategies to improve students' learning. From the findings of teacher performance, it indicated that teachers' perception on their performance was very high as they were satisfied with the duties they perform in the schools. Teachers professional development programs had played a crucial role and every teacher was motivated to show a very high performance due to quality of teachers' professional development programs conducted in schools. This finding was further supported by Inayatullah & Jehangir [4] which reported that taechers are motivated through the conduct of various types of professional development and has a direct and positive effect on the job performance.

5.2 Research Objective 2: To investigate the relationship between Teachers' Professional Development and Teacher Performance in Primary Schools under Chhukha district in Bhutan.

The finding of this study revealed that teachers' professional development and teacher performance were significantly correlated at 0.01 level (r = .574). It indicated that there was statistically positive relationship between teachers' professional development and teacher performance in primary schools of Chhukha district in Bhutan. It can further be stated that if more teachers' professional development programs are well instituted in schools, the more would be the improvement of teacher performance in the schools. Therefore, teachers' professional development had the positive influence on the better quality of teacher performance in schools. The findings of this study were similar to the findings of Maclean [8] where it reported that teachers' mean score in participation in in-service training and teacher performance was above average which showed that there were strong positive and significant relationship between teacher learning and their performance. Findings of Yuejin [21] and Nzarirwehi & Atuhumuze [12] also reported that professional development through in-service training had significant effect on the performance and academic qualification of teachers.

5.3 Research Objective 3: To investigate the effects of Teachers' Professional Development on Teacher Performance in Primary schools under Chhukha district in Bhutan.

From stepwise multiple regression analysis, it was evident that action learning and in-service training/workshop from teachers' professional development were the predictive factors of teacher performance which means action learning among teacher colleagues and in-service trainings/workshop can have positive impact on the performance of teachers. The finding was related with the findings of Leonard & Marquardt [7] where it reported that action learning is a success factor in solving problems, enhance work performance, and execute leadership skills. It was evident from the result that teachers were very passionate to learn and discuss over a particular issue in a subject group and build in new ideas to solve that problem which ultimately takes them to a greater height of performance in teaching and learning process. It was shown that in-service training also provides a greater insight of knowledge and skills which has the strong influence on their work performance. The finding was supported by Saleem & Zamir [15] where it reported that in-service training programs have shown a greater influence teacher's instructional practices, classroom practices and belief towards teaching profession.

6. Conclusion

The present study found that the level of teachers' professional development in primary schools of Chhukha district was at a high level and simultaneously the level of teacher performance was at a very high level. The result of Pearson's correlation concluded that there was a strong positive correlation between teachers' professional development and teacher performance in primary schools under Chhukha district in Bhutan. According to stepwise model of multiple

regression analysis, this study concluded that action learning and in-service training/workshop under teachers' professional development were selected into the model and had the greater effect on teacher performance whereas other dimensions such as mentoring, and peer observation/feedback had been shown negligible effect on teacher performance.

7. Recommendations

7.1 Recommendations for Ministry of Education

According to the findings of this study, some teachers felt that one-time workshop/training in a year on a single topic is inadequate for them. Therefore, the relevant authority under ministry of education should take up necessary actions to increase the number of workshops with more focus in relation to different subjects.

7.2 Recommendations for School Principals

The findings from action learning revealed that there were not much of opportunities created for teachers to share their ideas with other colleagues in the school through a professional development forum. Therefore, despite learning and sharing only in a particular subject group, school leaders should create the opportunity for every individual teacher to share any new ideas to the whole school staff.

7.3 Recommendations for Future Studies

In this study, the researcher had focused only in one district and moreover with only primary school teachers in which the result may not be the same to all other districts. Therefore, further study should be focused to teachers of other districts and other levels of schools such as Lower Secondary School (LSS), Middle Secondary School (MSS) and Higher Secondary School (HSS) with more aspects of professional development. This study can be conducted with other variables which could predict on teacher performance.

8. Acknowledgement

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Using Immediate Written Recall Protocols for Investigating Listening Difficulties and Listening Strategy Use of Chinese Learners Majoring in Thai Language

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Abstract

This research used the qualitative analysis of the data collected from immediate written recall protocols as both concurrent and retrospective reports in order to explore listening difficulties encountered by Chinese students majoring in Thai language during their listening in Academic Listening Placement Test (ALPT). Two main categories of barriers for Chinese students' listening to ALPT were found. The categories were 'affective barriers and 'listening comprehension processing barriers' It also presents listening strategies used by Chinese students when they were coping with ALPT. With findings from immediate written protocols, teachers would better understand and employ teaching techniques which could enhance students' listening strategies in order to overcome or cope with such listening difficulties.

Keywords: listening, listening comprehension, listening difficulties listening strategy, immediate written recall protocol

1. Introduction

In recent years, there have been increasing number of Chinese students studying Thai as a foreign language. The researcher has noticed that many other researches focus on how to effectively teach Thai language for Chinese students. Writing, reading, and vocabulary obviously important skills to be paid attention.

Listening skills play a vital role in foreign language learning as well. However, teaching listening in Thai tends to be neglected because most teachers regard the listening as receptive and passive skills. They believe that foreign language learners would eventually acquire this skill if they are taught to read passages and comprehend grammatical rules.

In fact, the effective strategies to enhance students' listening performance need to be examined and promoted. However, before teachers assist their students to improve their listening comprehension, they should comprehend and identify students' listening difficulties. In other words, students' lack and need should be concerned at the beginning of the course.

The immediate written recall protocols as both concurrent and retrospective reports could

effectively reflect the cognitive processes employed by students as a test taker. Although the recall protocols have been widely used for researches on English teaching and learning, there are a few researches in Thai language. Therefore, with awareness on the role of recall protocols on exploring students' cognitive processes including difficulties and strategies used to deal with tasks, this research employed it to find out the answers for the research questions.

In this paper, the research questions are "What problems were encountered by Chinese students while they were dealing with the listening task delivered in Thai?", and "What kind of strategies did they use while they were dealing with the listening task?". The researcher explored listening difficulties of Chinese students with aim to increase teachers' consciousness of these difficult areas in listening comprehension. As a result of this, they might be able to help their foreign language learners develop effective listening strategies and finally solve their listening barriers, then improve their listening comprehension abilities.

2. Literatures

2.1 *Definition of listening*

Listening is defined as an active process during which the listener constructs meaning from oral input (Bentley & Bacon, 1996 cited in Gilakjani & Ahmadi [9]). Listening is the active process of selecting and integrating relevant information from acoustic input and this process is controlled by personal intentions which are critical to listening (p.83) [12].

2.2 *The process of listening*

Anderson (1985, 1995 cited in Meesat [16]) proposed a model of listening comprehension, namely perceptual processing, parsing and utilization. The perceptual processing stage of listening involves segmenting phonemes from the continuous speech stream. Parsing refers to the encoding input to establish a meaningful representation in short-term memory. In the parsing stage, the listener parses the sounds into the combined meaning of the words. In this stage, a meaning representation is moved to long-term memory. Utilization means using background knowledge to interpret input. During the stage, the listener tries to comprehend the new information by relating it to old information. These three phases are ordered, by necessity, in time but also partly overlap. If the listener is able to accomplish the three processes of perception, parsing and interpretation without any difficulties, listening should be smoothly upfront process (Anderson ,1995 cited in Meesat [16]).

2.3 *Listening difficulties for foreign language learners*

Underwood (1989 cited in Meesat [16]) identified listening problem as follows: (1) lack of control over the speed at which speakers speak; (2) not being able to get things repeated; (3)

the listener's limited vocabulary; (4) failure to recognize signals; (5) problems of interpretation; (6) inability to concentrate; (7) and established learning habits.

Goh (2000 cited in Gilakjani & Sabouri [9]) investigated listening comprehension problems in students in college EFL studies. The data were collected from learner diaries, small group interviews, and immediate retrospective verbalization. The reported difficulties partially reflect Underwood's (1989 Cited in Meesat [16]) categorization on foreign language listening problems. Goh's findings (2000) concluded listening comprehension problems in relation to three cognitive processing phases: perceptions, parsing, and utilization. First, in the perception stage, learners reported most difficulties as: 'do not recognize words they know'; 'neglect the next part when thinking about meaning'; 'cannot chunk streams of speech'; 'miss the beginning of texts'; and 'concentrate too hard or unable to concentrate' . Second, in the parsing stage, Goh (2000 cited in Meesat [16]) found that listeners complained of problems such as 'quickly forget what is heard'; 'unable to form a mental representation from words heard'; and 'do not understand subsequent parts of input because of earlier problems'. Third, in the utilization stage, 'understand the words but not the intended message' and 'confused about the key ideas in the message' were often mentioned.

2.4 Listening strategy

Since listening is not regarded as an importance aspect of the language, teachers do not teach listening strategies [23] [8] mentioned that. However, in fact, listening strategy is one of the most important factors that affect the process of listening comprehension. With this positive impact, the listening strategy need to be explicitly taught to foreign language learners [28] [10] [4] [29].

3. Methods

3.1 Immediate written recall protocol

To address the research questions "What problems were encountered by Chinese students while they were dealing with the listening task delivered in Thai?", and "What kind of strategies did they use while they were dealing with the listening task?", the analysis of students' immediate written recall protocol was used.

The immediate written recall protocol was used to identify the listening difficulties encountered by the Chinese students and their strategy uses during their listening in academic lectures delivered in Thai. The immediate written recall protocol in this study were used to get in-depth data on students' listening difficulties and their strategy use. The immediate written recall protocol in this research was adapted from the thinking aloud protocol used for research on reading skills (Ericsson & Simon, 1993 cited in Güss et al. [13]). During the process of thinking

aloud protocol, the participant keeps on talking, speaks out loud whatever thoughts come to mind, while performing the task at hand. Moreover, the data need to be gathered directly without any delays.

However, the thinking aloud protocol was not used in this research because there was inadequate number of voice recorders to record the research participants' speech. Moreover, during a listening activity, using the thinking aloud protocol might interfere with one's thought process thus reducing the ability for participants to work. With these limitations, the immediate written recall protocol was used in this research.

As mentioned before, this research aimed to explore listening difficulties of Chinese students in order help teachers to comprehend their students' listening difficulties and listening strategies. Therefore, the immediate written recall protocol in this research was conducted during Academic Listening Placement Test (ALPT) which was organized at the beginning of the Intensive Thai for Academic Purposes Course (ITAP). Chinese students needed to do the immediate written recall protocol after finishing the ALPT. After the researchers gave a listening test, they were asked to note down the difficulties which they encountered and strategies they made use of while they were dealing with the listening task in the ALPT. The students were provided a paper with open-ended questions. The open-ended questions were "What are your listening problems during listening to texts in the ALPT? What did you do to cope with the test?" The students had 10 minutes to complete the protocol by writing their opinions, in Chinese.

3.2 NVivo

The data from the immediate written recall was analyzed qualitatively through interpretive coding with NVivo 10 (www.qsrinternational.com). NVivo, a Qualitative Data Analysis (QDA) computer software package produced by QSR International [1].

NVivo10 was used for breaking the immediate written recall protocols up into short phrases or segments. Then, all nodes meaning clusters for themes or topics within the data obtained were categorized to identify real-time listening difficulties encountered by Chinese students in their listening in the ALPT. Qualitative analysis also was used for identifying listening strategies employed by the students to deal with the ALPT.

3.3 Academic Listening Placement Test (ALPT)

The characteristics of Academic Listening Placement Test (ALPT) are as follows:

1) The ALPT employed 2 audio files in monologue forms with academic content.

2) Each listening passage was 3 minutes in length based on Carrell, Dunkel, and Mollaun's [2] suggestion.

3) Based on suggestion by Nation [18] [19] on using familiar vocabularies in reading and listening texts, the ALPT employed 95 percent to 98 percent of familiar vocabularies in each listening in order to avoid any difficulties from Chinese students' vocabulary size.

4) In order to avoid any difficulties caused by students' lower Thai language proficiency that might affect the research results, all instructions, questions answers were written in Chinese.

5) The ALPT was carried out in 15 minutes. Each of the audio files was played only once. In addition, as a test taker, the participants were provided with blank note-taking paper and were encouraged to take notes as they listened to the lectures. They were allowed to keep their notes while responding to the task. The participants were given 3 minutes to study the task before doing each listening and had another 3 minutes to check their answers before listening to the next passage.

6) Cronbach's alpha was used to measure internal consistency between the assessors. The alpha coefficient for the four assessors was .817, suggesting that the items have relatively high internal consistency.

4. Subjects in the study

The subjects consisted of a voluntary group of 24 Chinese students. All participants were full-time undergraduate Chinese students who had been studying Thai language as a foreign language in Hospitality Management in academic year 2018 at Yunnan College of Foreign Affairs & Foreign Language, PRC. The participants ranged from 20 to 23 years old. These students had been studying Thai in China for one year and a half or about 80 hours. These 24 Chinese students took the Academic Listening Placement Test (ALPT) at the beginning of Intensive Thai for Academic Purposes Course (ITAP).

5. Findings

5.1 Main categories of listening difficulties encountered by Chinese students

Two main categories of difficulties/barriers encountered by Chinese students when they were dealing with the ALPT were found. The categories were 'affective barriers' and 'listening comprehension processing barriers'. The data from Figure 5.1 demonstrated that the number of references in listening comprehension processing barriers were higher than those of affective barriers
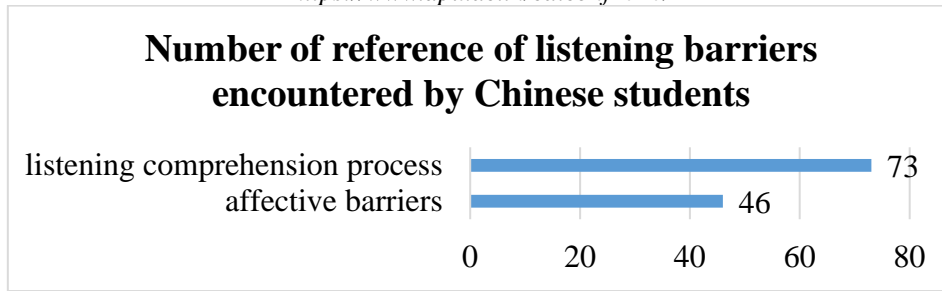
Figure 5.1: Number of references of listening barriers encountered by Chinese students

5.2 Affective barriers

Forty-six references from 24 Chinese students reported that affective barriers played a negative role in listening comprehension. Affective barriers from the immediate recall protocols included anxiety, distraction, and fatigue.

Anxiety is a form of fear that might include unhappiness, uneasiness, feeling of failure and incapability [20]. Distraction refers to inability to concentrate or focus in a listening task [24]. When a person feels nervous or anxious, his or her ability to listen is greatly reduced [17]. Fatigue also could have an impact on L2 listeners' abilities to comprehend a message [22].
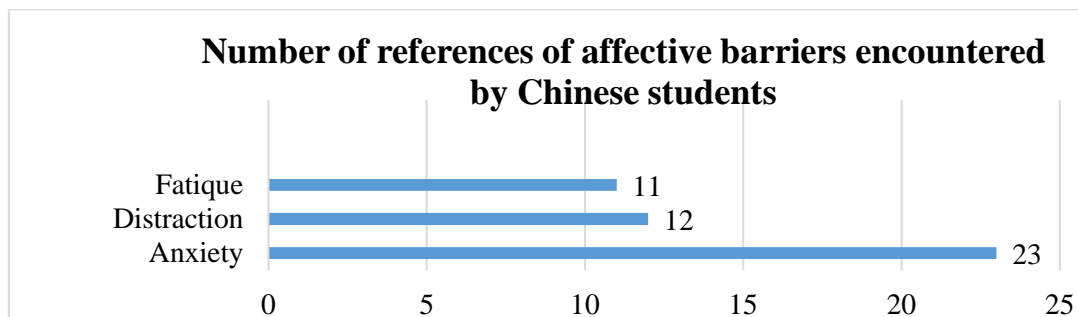
Figure 5.2: Number of references of affective barriers encountered by Chinese students

5.3 Listening comprehension processing barriers

Listening difficulties are defined as the internal and external characteristics that might interrupt the listener to understand the text. The processing problems directly relate to cognitive procedures at various phases of listening comprehension (Goh, 2000 cited in Gilakjani, & Sabouri [9]).

Listening comprehension processing barriers encountered by Chinese students were analysed within the three-phase model of comprehension proposed by Anderson (1985, 1995 cited in Meesat [16]). Three-phase comprehension model of Anderson consists of perceptual processing, parsing, and utilization.

Seventy- three references from 24 Chinese students reported that there were 7 listening

problems related to different phases of listening comprehension shown in Table 5.1 and Figure 5.3.

Table 5.1: Information processing barriers related to different phrases of listening comprehension

Perception	Parsing	Utilization
Recognize a word too slow or unable to recognize a word	Quickly forget what listeners heard	Fail to understand intended messages
Fail to remember the meaning of a word	Unable to form a mental representation from words heard	Fail to comprehend keywords
Listen to only familiar words		
Stop listening to a next part in order to think about previous words		
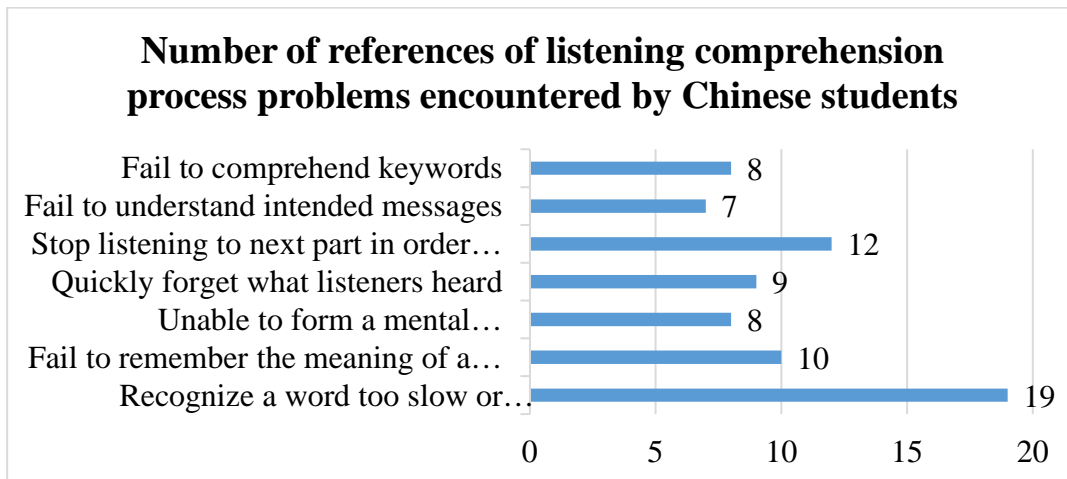
Figure 5.3 Number of references of listening comprehension processing barriers encountered by Chinese students

The data revealed 7 listening comprehension problems occurred during the three phases of Chinese students' listening comprehension process. Listening comprehension processing barriers in the perception phase were most often mentioned. Barriers during the parsing and utilization phases were the second and the third in respectively. The number of references from 24 students attributed to listening comprehension processing problems in each phase is shown in Figure 5.4.
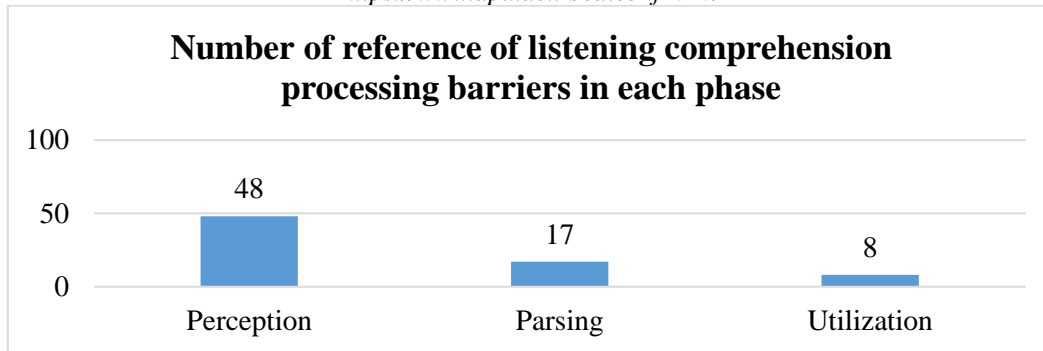
Number of reference of listening comprehension processing barriers in each phase

Figure 5.4: Number of references of listening comprehension processing problems in each phase

Almost concurred with Goh's study (Goh, 2000 cited in Gilakjani, & Sabouri [9]) used diaries, interviews, and think aloud reports in order to identify listening difficulties encountered by a group of ESL learners. She examined listening difficulties within the three-phase model of comprehension proposed by Anderson (1985 cited in Meesat [16]). Goh's findings revealed 10 listening problems that occurred while the learners engaged in listening tasks. With similar findings on comprehension processing barriers obtained in this study, it can be interpreted that the barriers might be common for all foreign language listeners.

5.4   Listening strategies during the Academic Listening Placement Test (ALPT)

Oxford (2003) defined strategies as "specific actions taken by learners to make learning easier, faster, more enjoyable, more self-directed, more effective, and more transferable to new situations".

Each sub strategy used by Chinese students
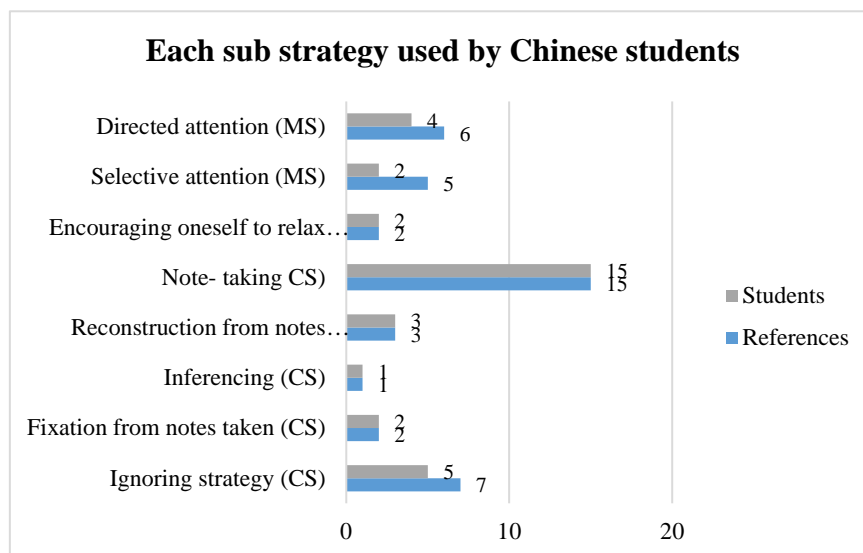
Figure 5.5: Listening strategies used by Chinese students

Forty-one references from 24 Chinese students reported that during dealing with ALPT, they added cognitive and metacognitive strategies to their repertoire of listening strategies. The data from the immediate written recall protocols revealed that the 'note taking category' was the

most often mentioned by students. The least often mentioned was 'inferencing'.

The cognitive strategies are basically activities that are used by learners in order to understand the linguistic input and get knowledge [25]. Cognitive strategies relate to comprehension and to the storage and recall of new input in working memory [5].

The metacognitive strategies are regarded as planning techniques. Vandergrift (1999) cited in Gilakjani & Sabouri [9] stated that metacognitive strategies are self-regulated learning. It includes the attempt to plan, check, monitor, select, revise, and evaluate. Baker and Brown (1984 cited in Tavakoli [26]) identified two types of metacognitive strategies. The first type is knowledge of cognition. It concerns with the learners' awareness of what is going on. The second type is regulation of cognition. It relates to what learners should do to listen effectively.

6. Discussion

Findings from the immediate written recall protocols identified real-time listening difficulties faced by Chinese students in their listening in academic lectures. The findings revealed 7 real-time comprehension problems related to the three cognitive processing phases: perception, parsing and utilization while they engaged in the listening tasks.

Chinese students revealed that they had problems during the perception processing stage. Some Chinese students recognized a word too slow or could not recognize a word. Some could recognize a word but could not remember its meaning. Some could pay attention to only familiar words. Some could not pay attention to the next part because they were still thinking about what they previously heard. Recognizing sounds as distinct words was a main problem in the perception phase. The possible reason of the problem on processing phases could be Chinese students' difficulty perceiving reduced forms in connected speech. According to Meesat [16], fluent Thai speech is usually fast. Not every word is clearly produced. Consequently, some syllable or words are not pronounced in full forms but rather are spoken in reduced forms. As a result, foreign language learners of Thai have difficulty perceiving reduced forms in connected speech. Another factor could be Chinese students' inability to store learnt words in their long-term memory because they knew certain words by sight but not by sound.

Some problems experienced at the parsing phase had to do with establishing a meaningful representation in short-term memory. Chinese students quickly forgot what they heard. Some could not derive a reasonable mental representation of the input by connecting the words they heard to written forms. In the utilization phase, some students failed to understand intended messages of a speaker. They were also unable to comprehend a keyword.

Researches on exploring listening comprehension processing barriers encountered by foreign language learner of Thai seem to be rare. Therefore, by identifying listening difficulties, this study hoped to help teachers in Thai language teaching for foreigners better understand the different cognitive demands that their students encountered when listening to academic lectures.

It is accepted that foreign language learners need to develop certain listening strategies that help them overcome listening difficulties [7] [9]. Chen [3] also suggested that effective listeners use different strategies to comprehend content. Moreover, skilled listeners were able tended to use many more and different strategies and tactics to help them comprehend the content.

With findings from immediate written protocols, teachers would better understand and employ teaching techniques which could enhance students' listening strategies in order to overcome or cope with such listening difficulties.

For example, findings from the immediate written recall protocols revealed only one student used the inferencing strategies. In fact, the inferencing strategies are so helpful for handling unfamiliar words. Because of this, the inferencing strategies need to be promoted to foreign language learners so that they could effectively cope with unfamiliar words. They could use information within the text to guess the meaning of words or to fill in missing information.

One more example is the selective attention, one of metacognitive strategies. Findings from the immediate written recall protocols revealed that there were only five references (2 students) using the selective attention. The selective attention is one of the most important strategies since it could draw listeners' attention to specific aspects of language input or situational details that assist in understanding. Therefore, with selective attention, foreign language learners could successfully accomplish listening tasks [6].

To sum up, we need to teach our foreign language learners of Thai how to learn. Therefore, "our efforts to teach them some 'technical know-how about how to tackle a language' should be well advised. Listening strategies need to be explicitly taught and trained to foreign language learners of Thai in order to enhance their listening comprehension. However, the listening strategy training should provide students with opportunities to self -evaluate their performance in order to allow them to experiment and experience their own listening strategies by 'learning by doing'. The training should enable students to discovery and decide which strategies they feel is suitable for them to cope with the listening tasks [16].

7. Recommendation

Another research study can be conducted to see how effective the strategy training would be

when used with foreign language learners of Thai and to see how many of them apply and benefit from these strategies. Moreover, it would have been useful to more investigate the impact of listening strategies training for foreign language learners of Thai over a longer period. A longitudinal examination of these students' progress would yield information on the way to enhance students' listening comprehension abilities.

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Common Assessment Protocol: The Solution in Tracking Students' Achievements?

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Abstract

One of the private universities in Malaysia has adopted the Professional Competencies in 2017 as one of several methods to promote and support innovation in teaching and learning, in addition to improving graduate quality. The Professional Competencies (PCs) were benchmarked against the 10 skills identified by the World Economic Forum (WEF) for the 21st Century. Despite the importance of these targeted PCs, methods to effectively and consistently measure students' performance in this regard have yet to be developed at the university level. This study is to obtain background information current global development in the measuring and tracking of students' achievement of skills similar to that of PCs. The final objective of this study is to support the development of a Common Assessment Protocol (CAP) that is both user-friendly and effective as a vehicle for assessing and tracking the achievement of PCs. Based on the literature and survey findings, it is clear that a tool such as the CAP will be valuable to both students and lecturers. In summary, the findings show that CAP will act as a social platform where students can input information on their achievements, get it verified and assessed by tutors/mentors/peers, and ensure that their achievements are benchmarked to the learning outcomes. Significantly, however, a tool such as CAP will place the responsibility to acquire skills and learning on students, as it should in any successful outcome based education system.

Keywords: Professional Competencies, Soft Skills, 21st Century Skills, e-Portfolios, Assessment, Common Assessment Protocol

1. Introduction

To promote and support graduate quality and employability, one of the Malaysian private universities has developed Professional Competencies (PCs). These are benchmarked against the ten skills identified by the World Economic Forum (WEF). In line with this, all curriculum is being reviewed to embed these PCs to enable to development of a holistic graduate with the right global citizenry characteristics. The success of the curriculum in achieving the projected target highly depends not just on what is embedded in it but also how it is assessed. The use of formative and summative examinations and assignments to measure students 'hard-skills' seems only to annul any targeted impact of the PCs incorporated into the curriculum.

502

Furthermore, success in achieving the PCs is more assured if the ownership of achievement is given back to its rightful owner; i.e. the students themselves. As academics, we have long established that learning does not happen in classrooms alone.

With the above in the fore-ground, the purpose of this research is to study the effectiveness of the current assessment methods, particularly in measuring PCs and how would our primary stakeholder, the students feel about being able to manage and chart their personal and academic growth in line with the noble visions of the PCs through an e-portfolio.

2. Literature Review

A burgeoning in the use of and literature on e-portfolios has resulted in a tendency to leave the term undefined (see for example Cambridge [1]; Peet et al. [2]). However, various authors reported that users' understanding and perception of e-portfolios are key determinants of successful implementation (Chanpet et al. [3]; Gamiz-Sanchez et al. [4]; Scholz et al. [5]; Schrand et al. [6]). Since a clear understanding of the concept is the cornerstone of implementation, it is worth revisiting definitions of the term from the literature.

In their overview of e-portfolios, Lorenzo and Ittelson [7] define an e-portfolio rather comprehensively as:

> *[A] digitised collection* of artefacts including demonstrations, resources and accomplishments that represent an individual, group or institution. This collection can be comprised of *text based, graphic or multimedia elements* archived on a Web site or on other electronic media [...]. An e-portfolio is more than a simple collection – it can also serve as an administrative tool to *manage and organize work created* with different applications and to *control who can see the work*. E-portfolios *encourage personal reflection* and often involve the *exchange of ideas and feedback*. (Lorenzo & Ittelson [7]; italics are those of the current authors).

Shroff et al. [8] asserted that "[e]-portfolios allow information to be stored, accessed, updated, and presented in various electronic formats as a record or evidence of student learning and achievement." This definition casts light on the aspect of tracking and acknowledging development and progress. While not directly defining e-portfolios, Cambridge [1] illuminated their value, arguing that they "can be powerful because they provide a context to develop attitudes and abilities that provide a stronger sense of ownership, self-efficacy, and self-authorship than students typically experience (p. 25).

For the purposes of the present study, an e-portfolio can be defined as a purposeful, self-

regulated record of student's activities documented in any number of digital formats to evidence, track and show-case development in academic knowledge and skills as well as professional competencies. Such a definition specifies certain essential requirements (purposeful, self-regulated, student activities, any number of digital formats, evidence, track and showcase academic knowledge and skills and professional competencies) while leaving the details such as the platform, media and details of implementation open to the needs of different contexts.

2.1 Advantages of E-Portfolio Use

The literature on e-portfolios, while acknowledging limitations and challenges of the practice, tends to be advocate-driven rather than critics. Not unsurprisingly, advantages of e-portfolios receive ample attention, with several themes repeating themselves across a spectrum of contexts, as outlined below.

a) Enhancing self-awareness and critical reflection

This benefit of e-portfolios enjoys repeated mention across the literature and is of particular value to the present study. Lorenzo and Ittelson [7] remarked that "the [e-portfolio] author's personal reflection on the work inside and e-portfolio helps create a meaningful learning experience" (p. 2), echoing a broad cognitivist-humanistic approach to the learning process. Writing about the impact of e-portfolios on nursing interns, Sidebotham et al. [9] valued the opportunity for recognising growth and progress and consolidating interns' sense of self and purpose.

b) Enhancing self-regulated learning

E-portfolios also tend to have a strong self-regulated element, which can accordingly foster self-regulated learning. Chang et al. [10] reported the positive effects on the self-regulated learning of second year students at a vocational college who used e-portfolios to set, meet and track learning goals. However, appropriate guidance or coaching from educators is vital to successful e-portfolio use, as students may overestimate their performance and lose motivation to honestly revisit and maintain e-portfolios (Beckers et al. [11]). Tur and Camacho [12] emphasised the potential of mobile e-portfolio applications in terms of self-regulated learning, praising the accessibility and creative potential of mobile options.

c) Recording and tracking diverse learning experiences

Several sources confirm the potential of e-portfolios to record and track a range of learning experiences, both in and beyond the classroom. Cevik et al. [13] asserted that using e-portfolios

in the emergency room practical sessions of final year medical students enabled recording and tracking of on-the-job learning. Since medical practicum experiences are not regulated by a syllabus, this allowed students to enrich their learning experiences through deeper follow-up and under the guidance of mentors, while the data could inform future curriculum development. Similarly, Varchenko-Trotsenko et al. [14] encouraged the use of e-portfolios to track diverse student activities that support holistic development, while Peet et al. [2] corroborated the positive impact of e-portfolios on documenting, reflecting on and building on diverse learning experiences.

d) Career-oriented skills development

Facilitating preparation for a future career is a key aim of the present study supported in the recent literature. For example, Howell et al. [15] reported positively on the use of an integrated e-portfolio to develop engineering students for the rigours of their profession, where PCs are formal requirements for accreditation.

In the creative fields, Lauer and Cox [16] stressed the growing value of e-portfolios where in- and out-of-classroom learning and skills can be documented and showcased. Morrison [17] also explored how an e-portfolio can demonstrate skills to future employers, whereas Peet et al. [2] acknowledged enhanced career development through e-portfolios.

e) Increased student motivation and satisfaction

Anecdotal evidence pointing to increased student motivation and satisfaction receives some support in the literature. With regards to motivation, positive effects of e-portfolios on motivation and improving writing skill among Iranian English learners were reported by Akbari and Erfani [18], although the authors did find the collaborative online platforms of wikis to be more helpful in writing development than e-portfolios. Within the Australian education system, a wide-ranging group of educators acknowledged the potential of e-portfolios and anecdotally reported high levels of student satisfaction [19].

f) Improved assessment results

Amid the emphasis on holistic skills development generally cited in favour of e-portfolios, resulting academic improvement also deserves a mention. Authors who confirmed the positive impact of e-portfolio use on students' written examinations include Händel et al. [20] and Chanpet et al. [3]. The work of Impedovo et al. [21], mentioned in the earlier section on self-regulated learning, holds further promise for the improvement of academic assessment results

through e-portfolio use.

2.2 *Challenges in the Use of e-Portfolio*

Several challenges relate to demands on e-portfolio users, especially at the outset. One of the identified obstacles is cognitive load (Händel et al. [20]; Lorenzo & Ittelson [7]). Other authors cited the problems of sheer workload under time constraints, as well as their implications for sustainability (Händel et al. [20]; Schrand et al. [6]).

Uncertainty or confusion about the purpose of e-portfolios is not always identified in the literature but may be a potential blind spot observed by Schrand et al. [2]. Uncertainty and confusion may also underlie challenges related to perceptions of e-portfolios among authorities, instructors and students, as reported by Chanpet et al. [3], Gamiz-Sanchez et al. [4] and Scholz et al. [5]. Also, related to perceptions is the matter of trust in the e-portfolio and surrounding systems (Rouse & Green [22]). In this regard, Lorenzo and Ittelson [7] referred specifically to the validity and reliability of e-portfolio assessment, as well as the matter of copyright and privacy issues.

A further challenge relates to the self-regulation, which is generally a strength of e-portfolios (Beckers et al. [11] 2018; Händel et al. [20]). While self-regulation builds learner autonomy, this also involves a level of responsibility that may be far beyond their habitual dependence on an instructor. These sources recommend instructor support and guidance to develop responsible self-regulation among students.

Lorenzo and Ittelson [7] also referred to debate surrounding the responsibility for e-portfolios, and whether this should revert to the institution or individual student or trainee. The latter authors also refer to the need for technology support, which may have reduced over time as technological literacy improves but remains essential when technical issues arise.

3. Methodology

The mixed-method is used in this study to research among students and academic staff across the faculties of the university. Convenience sampling was used to select the respondents. Of the total student body invited to participate in the survey, 510 students completed and successfully submitted the survey. Students participated via online questionnaires and follow-up focus group discussion (FGD), while lecturers contributed to FGD. The survey contains three sections: Section A addresses demographic and technology use information, Section B investigates students' perceptions of e-portfolio usage, and Section C invites students' preferences in terms of mobile application user interface (screen design) and functions. Questions asked during FGDs explored current practices, strengths and weaknesses of the current system, experience

with an e-portfolio system and expectations for a desirable system. The study aims to provide an overview of existing practices, their strengths and weaknesses, and the demand and requirements of a future CAP. Findings essentially verify the demand for a CAP, and what form it should take.

4. Results & Discussion

The survey was administered to all students from three faculties: Faculty of Engineering (FoE), Faculty of Science (FoS) and Faculty of Arts and Social Sciences (FASS). Of the 510 participants, 59% were female and 41% were male. Respondents were further divided into four age categories; 17-19, 20-22, Above 23 and the majority (56.7%) were from the youngest category. There were significantly more Year 1 students (51%) than respondents from other levels of study. Data also show some variations between faculties whereby 39% and 37% of respondents respectively are from FoS and FASS while only 24% are from the FoE, although FOE is the largest faculty at the University.

4.1 Enjoyment of technology used in study and work by gender comparison
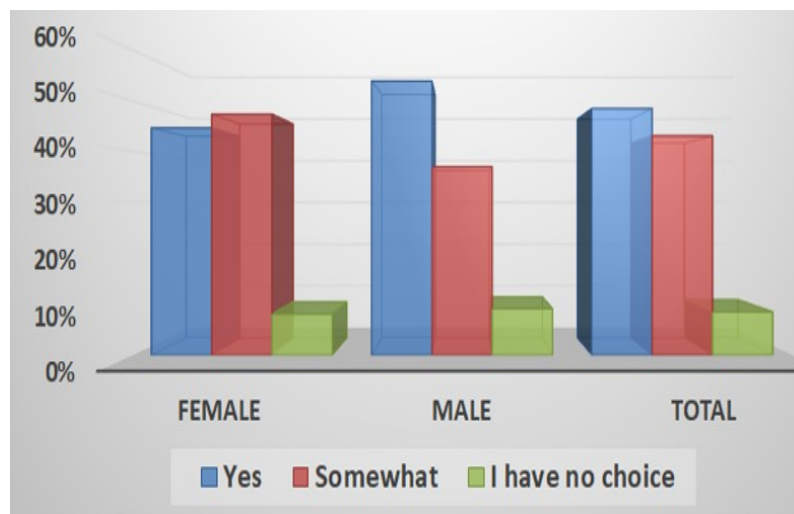
Figure 1: Enjoyment of technology used in study and work by gender

In relation to gender, there seems to be generally no significant variance in the response provided based on the gender of the respondent. However, male respondents seem more inclined to using technology in their studies as the response shows a higher level of enjoyment (refer to Figure 1).

4.2 Use of technology and e-Portfolio among Respondents

The research revealed that while e-portfolio is not an entirely new concept to students or lecturers at the university, the exact meaning of the term is unclear to many. Thus, the survey contained six questions in relation to the use of technology and devices among respondents.

The rationale for this is to better understand student's needs when the e-portfolio is developed.
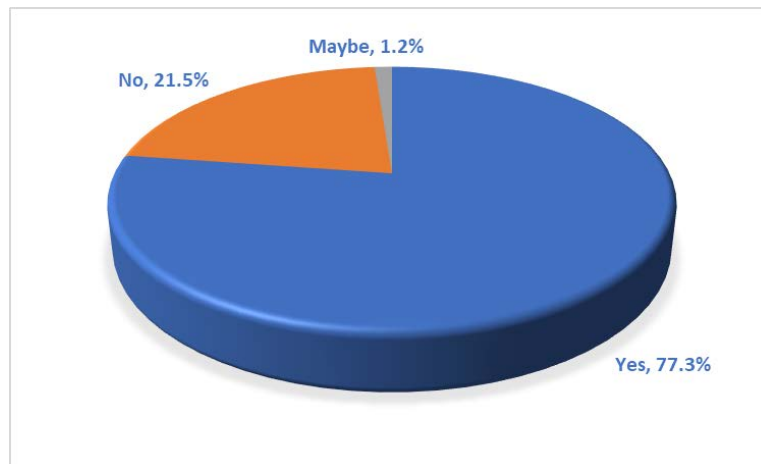
Figure 2: Usefulness of an Online System to Track Academic and Work Performance

Referring to Figure 2, an overwhelming 77.3% feel that an online system like an e-portfolio will be useful in tracking academic work and performance, this finding is consistent with Varchenko-Trotsenko et al. [14]. Only 1.2% clearly do not think e-portfolios will help track academic work and performance while approximately one fifth of respondents were unsure.

4.3 *Perception of Respondents toward the use of e-Portfolio*

Question 11 sought to obtain respondents' perceptions on the value of using e-Portfolio if it is available. Fourteen statements were put forward to the participants (refer to Figure 3). While a majority (55.7%) remained neutral (with only 28% agreeing) on whether e-portfolio could provide a lot of enjoyment, there was a clear majority, with the highest agreement at 79.6% that e-portfolio can provide a better overview of respondents' coursework performance. This was followed by 72% agreeing that e-portfolio can indicate areas in personal development and skill map that need to be worked on, while 71.4% felt that an e-portfolio system could help manage their academic progress, achievements or grades more effectively. Similarly, a clear majority felt that e-portfolio could support better tracking of learning and skill development at 64.7% and 63.7% respectively while another 60.8% felt that e-portfolio can better support discussion with their tutors. Fifty-eight percent said that they would use e-portfolio if available, 56.5 % felt that it was a good idea to support their coursework and 55.1% responded that they would use e-portfolio if available. Slightly over 51% felt that an e-portfolio system would help in planning their future career. Respondents however were not convinced that e-portfolio would replace the need for a traditional CV, with only 48.6% agreeing to the statement while only 48% felt that e portfolio would act as a guide to them in improving their grades. Neither were the respondents convinced that e portfolio would impress employers.
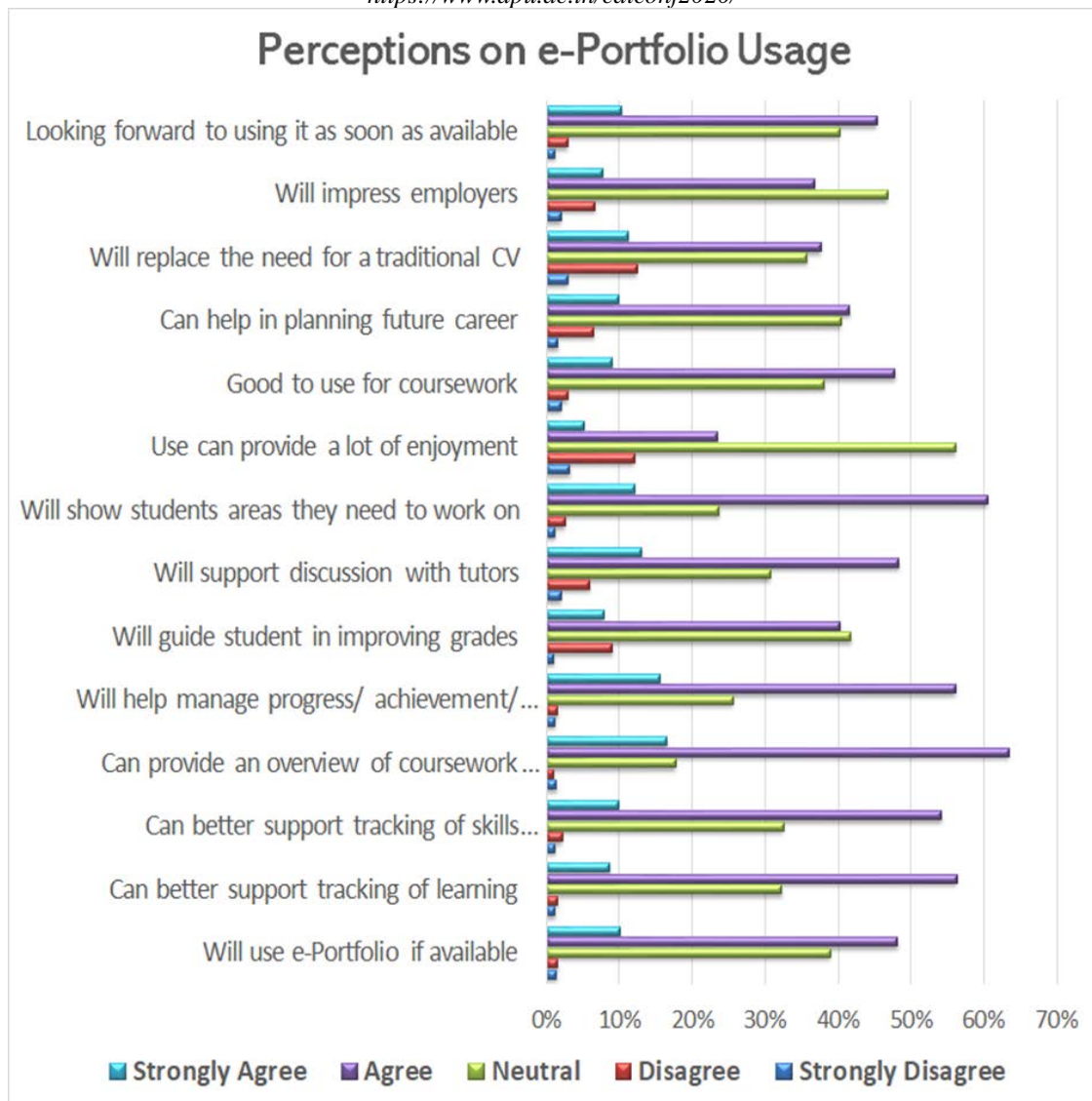
Figure 3: Respondents' perceptions on e-portfolio usage

In brief, respondents seem very clear that an e-portfolio system will be beneficial to tracking their academic performance and skills development and will welcome such a system. They are however unclear whether employers will be equally happy to use this as a substitute for a traditional CV or whether it will provide additional value to their career development. They are also not convinced that an e-portfolio system will help them improve their academic grades. The cautionary approach in responding to Question 11 also provides confirmation that respondents had given the questions ample thought and approached the survey with appropriate earnestness.

In the FGDs, having established respondents' experience with e-portfolios, interviewers then asked how respondents believed that such systems could support them in different aspects of their development. Specific points mentioned were academic skills, life skills, discussions with

tutors and mentors, improving weak areas, help with employment and career development, and other potential uses.

For academic skills, students remarked that an e-portfolio system could help them track progress and know what areas to focus on. This finding is also consistent with Varchenko-Trotsenko et al. [14], the use of e-portfolios to track diverse student activities that support holistic development. One student suggested that, since academic progress was reflected through grades, an e-portfolio should allow students to showcase good coursework and other skillsets. Another student commented that an e-portfolio system could make students' academic information more readily accessible.

Regarding soft skills, a key theme was how the e-portfolio would allow students to demonstrate their soft skills – a concern articulated by several respondents. Two respondents from different groups suggested that video clips could serve as evidence of their soft skills. One Year 3 student in software engineering took a strong stand against trying to quantify soft skills, since it was an area where he believed technology could not bridge the gap. This ignited some debate, as other students argued that employers do need some measure of graduate employees' soft skills, notoriously hard to measure as they may be.

Most respondents embraced the role of e-portfolios in helping with employment, especially in terms of how such systems could demonstrate and track soft skills, this was also mentioned by Lauer and Cox [16] where they asserted that student's academic and soft skills can be documented and showcased. In particular, students mentioned how this could showcase their achievements more holistically, including qualities that were not generally acknowledged, such as handling emergency situations. Two respondents in separate groups noted that verification or accreditation of the application and its users would be vital to successful adoption among employers.

Focus group discussions with academic staff provide enough evidence to suggest that the faculty and department in which a lecturer works can strongly influence perceptions. This relates not only to the field of specialization, but also to the work culture and systems currently used in different parts of the university. While the sample of lecturers was very small (two focus groups with four and two respondents respectively), lecturers generally remarked on this observation themselves.

The first question to lecturers addressed their perceptions of the current assessment systems in use in their departments. Responses were noticeably divided according to the practices in the different departments. Two FASS lecturers from the Schools of Psychology and Economics

respectively remarked on the strongly theoretical, summative focus of assessment in their courses. However, two other FASS lecturers, both from the School of Education, asserted the importance of practice-based and formative assessment in their discipline, and verified that it was reflected in the School's current assessment practice.

FoE lecturers cited a diversified, practice-oriented and strongly formative assessment process emphasizing PCs, as required by the accreditation bodies in their discipline. Lecturers tended to agree that practical, formative assessment was more demanding for staff, but also more educational and meaningful for students. FoE staff pointed to the difficulties in assessing PCs. However, developing and refining rubrics for each PC had facilitated its measurement and that certain PCs, like ethics, remained challenging to measure.

The next question addressed current methods for assessing and tracking soft skills. One FASS respondent referred to soft skills as a "grey area": "they are addressed in the programme and course learning outcomes, to which the curriculum is mapped, but can be very generic". The respondent did, however, question whether minute documentation of each soft skill or PC, as done in FoE, would truly be accurate. In a separate focus group discussion, lecturers from the FoE reported on the successes of their system, which maps PCs in meticulous detail to every aspect of the curriculum. They expressed satisfaction with their methods for assessing most PCs, but admitted that critical thinking and especially soft skills in general remained a challenge.

Lecturers were asked how they felt an e-portfolio system could support students' learning. In FASS, responses to this question were quite limited. However, one lecturer replied that an e-portfolio system could foster self-awareness, since even if students' progress was self-reported, it would bring their attention to the skills and may become a "self-fulfilling prophecy". This finding is consistent with Rowley & Munday [19] where educators acknowledged the potential of e-portfolios. FoE lecturers responded with the existing experience of their SCPD (Student Continuous Professional Development) system, where students receive points for attending or being involved in continuous professional development events.

Overall, the data collected from students and lecturers' FGDs suggest positive but cautious enthusiasm for an e-portfolio-based Common Assessment Protocol (CAP) for recording, tracking and showcasing a student's professional competencies. The result is consistent with Lauer and Cox [16]. Although very few students had used a similar system before, they tended to support the idea and believe that it would help them to balance their academic and soft skills development. Several students expressed the hope that such a system would encourage them and their peers to take action on their soft skills development through prompts and guided actions, including possible gamification and sharing options. Students tended to be particularly

cautious about the proliferation of platforms for their university work, and a good number suggested that the e-portfolio CAP could act as a portal to the numerous existing platforms to simplify their digital duties.

While the study found general support for the initiative, it is important to note that respondents were rather vocal about their reservations. The most commonly mentioned reservation was the high number of existing software platforms and applications already in use for university purposes. Respondents were extremely clear about their demand that for a new system to earn their buy-in, it would have to add genuine value to their study, personal development and career-building activities. They also provided suggestions for a system that would appeal to them, in addition to very clear specifications of pitfalls to avoid in smartphone and web-based applications.

5. Conclusion

A potential limitation of the study may have had an impact on both the participant response rate and the nature of responses. This limitation relates to the abstract and arguably somewhat novel nature of the research topic. The research team did aim to leave interpretation of the concept largely to respondents, so as not to restrict their imagination in terms of the possibilities for the e-portfolio system. This aim allows for original contributions from respondents, but may also have led to some uncertainty and ambiguity in respondents' responses.

The concept of e-portfolio though relatively new has evolved in various forms in different jurisdictions. To some extent, it is merely the provision and tracking of personal information online and may be seen as a social platform, which many millennials are very familiar with and may easily adapt to. At the other extreme, attaching some elements of assessment and verification to the provision of social information may prove to be a challenge particularly when one adds the element of benchmarking achievements to the existing learning outcomes. In a nutshell, the intended subject of this study, CAP, is a social platform where students may incorporate their personal information and status and at the same time (1) input information on their achievements, (2) get it verified and assessed by tutors/mentors/peers and (3) ensure that their achievements are benchmarked to the learning outcomes. However, one significant variation from other social platforms is the ultimate value CAP would bring to the owner. In the case of CAP, it will provide students the opportunity to not only track their growth and personal performance both in academic and life skills, but also showcase these to relevant stakeholders such as potential employers and funders during and after their varsity days.

The study clearly demonstrated that such a system is welcomed by students irrespective of gender, age, faculty or their level of studies. Many arguably would prefer such a system as they

feel it will help them improve their overall learning experience. The survey also provided the essential features of the platform/application. The team can conclude with certainty that survey findings were clearly in line with global thinking as those gathered from the literature survey.

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The Relationship between Social Support and Life Satisfaction of the Chinese University Students' (CUS) Study in Bangkok

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Abstract

In recent years CUS in Thailand has been growing significantly. Several study results have shown that life satisfaction affects students' willingness to study abroad. However, this aspect of discussion is so far limited in Thailand. Therefore, the principal objective of this research attempts to explore how social support and life satisfaction are significantly correlated. The researchers, in terms of research method, adopted and distributed questionnaire to 322 Chinese students who currently study in Bangkok, Thailand. The quantitative data analysis of the questionnaires was conducted through hierarchical regression and structural equation modeling. The results show that (a) social support and life satisfaction of Chinese students studying in Bangkok Thailand appear to be positively correlated with one another; (b) social support was significantly positively related to self-efficacy; (c) self-efficacy was significantly positively related to life satisfaction; (d) self-efficacy played a mediate role in the relevance between social support and life satisfaction.

Keywords：Social Support; Self-Efficacy; Life Satisfaction

1. Research Background

A sharp rise in CUS study abroad has been seen in recent years, which would be considered as an undeniable trend. According to foreign media's report, the number of Chinese students to choose Thailand as their promising destination for self-pursuit of higher education has been significantly growing. A total of 8,455 Chinese students enrolled at Thai universities in 2017 and this number has already been doubled since 2012. In total, approximately 30,000 Chinese students are currently attending Thai University [1] Improving students' life satisfaction appears to be an important task of education [2], so the life satisfaction of Chinese students in Thailand has become one of the critical factors in the future deciding whether the continual of this wave of study abroad. It is, thus, extremely important to explore the factors and influence of life satisfaction of Chinese students on study abroad.

2. Literature Review

In order to increase destination loyalty intention, institutions may need to develop a support system that can promote positive cross-cultural adjustment [3]. Social support is a system that assistance of individuals who are under pressure through interpersonal activities such as

emotional support, cognitive reconstruction, etc. are able to reduce and adjust the stress of the individual [4], and some studies indicate that the individual wants to achieve the common goals of the group. Therefore, these individuals in the group help each other raise their levels of problem solving ability [5], so social support has an impact on life satisfaction. Life satisfaction includes education, social relations, leisure, self and academic ability, among college students' life satisfaction includes family members, friends, love, roommates, etc. in social relations [6] [7]. There have also been studies that have looked at the relationship between life satisfaction and educational opportunities and services, referring to the fact that as the life satisfaction increased, then the satisfaction of academic life also lifted [8]. Self-efficacy means the degree of self-confidence, and people are able to achieve their goals in a particular field or behavior [9]. Studies have shown that self-efficacy plays an extraordinary significant intermediary role in subjective social support in predictive relationships of hope [10]. On the other hand, some studies suggest that self-efficacy has a significant positive effect on life satisfaction [11] [12]. In addition, studies have shown that self-concept values including interpersonal self-learning ability, self-appearance and self-satisfaction have significant predictive effects on social adaptation and social support satisfaction [13]. Self-esteem, positive emotions, and interpersonal relationships serve as the mediators between emotional abilities and life satisfaction [14]. Researchers who targeted high school students in Canada found significant positive relationships among social self-efficacy, family support and peer support. It showed that high self-efficacy high school students received more family and peer support [15].

Based on the above related research results, social support can significantly predict life satisfaction, but has not yet found out that whether self-efficacy plays an intermediary role in social support and life satisfaction. All in all, this study analyzes the relationship among social support, life satisfaction and self-efficacy with Chinese students in Thailand and puts forward the following assumptions: (1) Social support for Chinese students in Thailand is positively related to life satisfaction (2) Social support for UCS in Bangkok has a positive impact on self-efficacy (3) CUS in Bangkok positively affects life satisfaction (4) Chinese students' self-efficacy in Thailand plays an intermediary between social support and life satisfaction.

3. Research Method

3.1 Participants

In this study, the sample of CUS in Thailand from a university in Bangkok was extracted by means of convenient sampling, and 342 questionnaires were distributed while 322 were collected and considered valid. The overall response rate reached 94.2%. Among all the participants, 203 are males (63.04 %) and 119 are females (36.96 %). Concerning participants' age range, 207 were aged 18-22 (64.29 %), 110 were over 22(34.16 %),5 participants were under the age of 18(1.55%). Additionally, 180 university students major in finance while 98

students (30.43 %) study in the international trade, 29 (9.00%) for tourism and 15 (4.66 %) for Art Design department. Furthermore, regarding the academic level, 77 (23.91 %) are freshmen, 60 (18.63 %) are sophomores, 136 students (42.24 %) are juniors, and 49 (15.22 %) are seniors. Lastly, 137 people (42.55 %) come from the eastern coastal areas and 98 (30.43%) are from in the western region while 69 (21.43%) come from central region and 18 (5.59 %.) are originated from the northeast region.

3.2 *Research Instrumentation*

The Social Support Scale is based on the revised Social Support Scale (PSS) revised by Yan Bibin and Zheng Xue [16].The scale is divided into three dimensions of family, friends and other support (teachers, classmates, relatives), using The Likert 5-point scale, respectively, "very disapproving," "disagree," "neutral," "agreed", "totally agreement". "In this study, the content consistency of the total table has an alpha coefficient of 0.944, and the alpha coefficients of each dimension are respectively 0.832, 0.951 and 0.949, which could prove that the credibility appears highly accepted. The results of exploratory factor analysis, the deletion of friends support in the "my friends can really support me", the remaining social support of the various dimensions of variance interpretation rate of 74.43%, the factor load of each project is above 0.715, proved to be good efficiency.

The self-efficacy scale was proposed by Schwarzer [17] and originally available with 20 questions, and the study was assessed using a GSES scale that was subsequently revised to 10 questions in 1997 [18]. The four-point scale was "Very Disagree," "A Bit Agree," "Agree," "Totally Agree". In this study, the content consistency of the total data table has an alpha coefficient of 0.926, meaning high reliability. The results of the exploratory factor analysis show that the explanation rate of variance in the various dimensions of self-efficacy is 62.52%, and the factor load of each project is above 0.66, which proves that the validity is good.

The Life Satisfaction Scale was evaluated using a subjective scale of evaluation of their overall life satisfaction as revised by Pavot and Diener [19]. A total of 5 themes were rated 7 points, namely , "Strongly Disagree", "Disagree", "More or less Disagree", "Undecided/Neutral", "More or less Agree", "Agree" and "Strongly Agree". In this study, the content consistency of the total data table has an alpha coefficient of 0.931, showing high reliability. The results of the exploratory factor analysis show that the explanation rate of variance in the various dimensions of social support is 76.02%, and the factor load of each project is above 0.749, which proves that the validity is good.

4. Results

4.1 *Descriptive Statistics and Related Analysis*

Averages of family support, friend support, and other support in social support, standard deviations, and related matrices are shown in Table 1. It can be seen from the table that there is a significant positive correlation between social support dimensions and life satisfaction and self-efficacy.

Table 1 Description statistics and related analysis results for each study variable

	M±SD	1	2	3	4	5
Family	4.01±0.90	-				
Friends	3.81±0.92	0.455***	-			
Others	3.56±1.00	0.524***	0.745***	-		
Life Satisfaction	4.50±1.34	0.450***	0.497***	0.445***	-	
Self-Efficacy	3.06±0.59	0.470***	0.438***	0.425***	0.626***	-

***$p < 0.001$, **$p < 0.01$, *$p < 0.05$

4.2 Analysis Results

Table 2 Model Fit Metrics

Fit Indicator	x^2/df	RMSEA	RMR	NFI	IFI	TLI	CFI
Ideal Indicator	< 3	<0.08	<0.08	>0.9	>0.9	>0.9	>0.9
Model Indicator	2.552	0.070	0.052	0.924	0.952	0.943	0.952

Table 2 results show that the actual data of the model after the revision of the fit index reached the standard value, indicating that the model fit is good, the social support of international students through self-efficacy to affect life satisfaction.
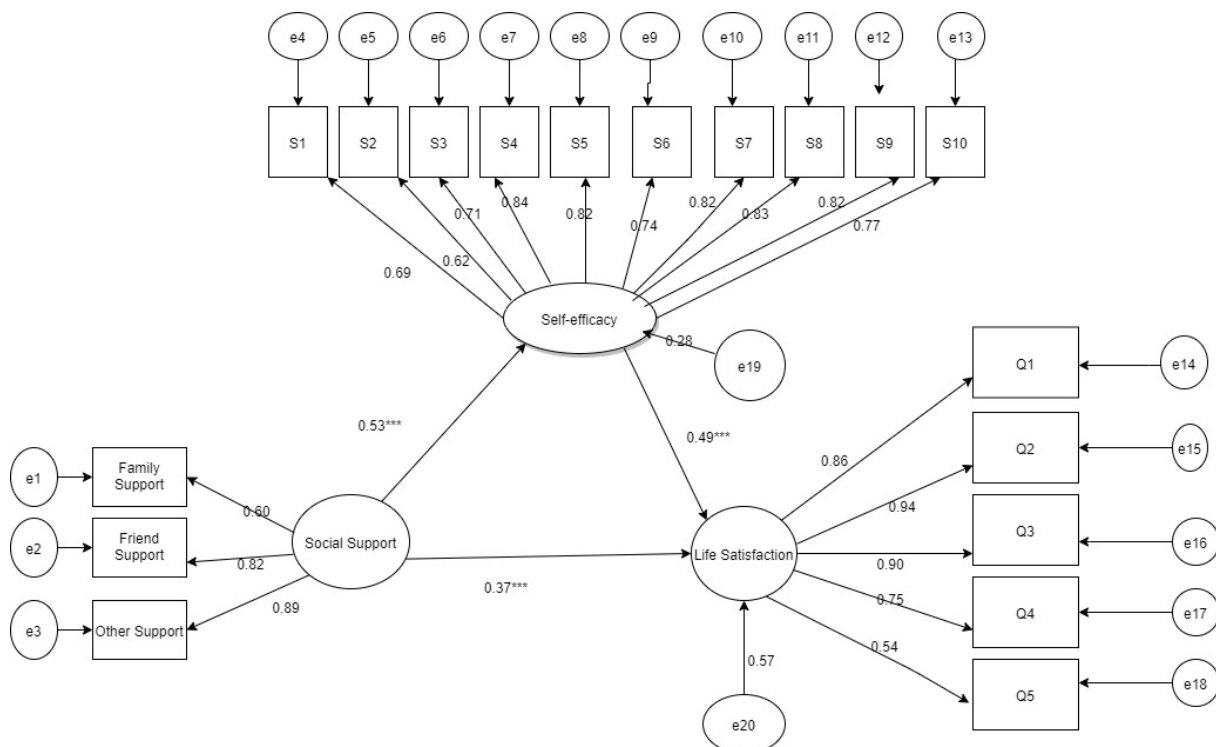
Figure 1 Intermediary Role Model of Self-Efficacy in Social Support and Life Satisfaction

Secondly, the self-efficacy intermediary variable is added between the life support and life satisfaction of international students, and the structural model of the intermediary function is shown in Figure 1: all standardized path coefficients in the model have reached a significant level, in which the path coefficient of social support for international students for self-efficacy is 0.53 (p 0.001), The path factor of self-efficacy to life satisfaction was 0.49 (p 0.001), and after adding the intermediary variable, the standardized path coefficient of social support for life satisfaction changed from 0.63 to 0.37 (p 0.001), which is still remarkable. It is shown that the self-efficacy of international students plays a part intermediary role between social support and life satisfaction, that is, social support not only predicts life satisfaction directly, but also has positive indirect effect on life satisfaction through self-efficacy. Specifically, the intermediary effect of social support for life satisfaction through self-efficacy was 26%, and the proportion of total effect was 41.3%.

Table 3 Effect Analysis of Social Support and Life Satisfaction

	Estimate	BC p value	95% Confidence Interval	
			Lower	Upper
Indirect effect	0.261	0.001	0.193	0.345
Direct effect	0.368	0.002	0.246	0.483
Total effect	0.628	0.002	0.515	0.728

The indirect effect value is 0.261, and the 95% trust interval of Bias-corrected does not contain 0, and the value is less than 0.05, indicating that self-efficacy plays a significant intermediary role between the relationship between social support and life satisfaction. In addition, the direct effect value of self-efficacy and life satisfaction was 0.368, the 95% trust interval of Bias-corrected did not contain 0, and the p value was also less than 0.05, indicating that the direct effect was significant. Finally, the total effect of social support and life satisfaction was 0.628, and the 95% trust interval of Bias-corrected did not contain 0, and the P-value was also less than 0.05, so the total effect was significant. In summary, it shows that self-efficacy plays an intermediary role in social support and life satisfaction, and its intermediary effect is part of the intermediary role.

5. Conclusion and Discussion

(a) The results of this study show that social support for Chinese students in Bangkok has an impact on life satisfaction, especially other support, because other support includes the assistance of local teachers, classmates and roommates on the adaptation and life of international students can directly affect, reduce life inadaptation and improve life satisfaction. However, family support also has a positive impact on life satisfaction, which is different from past studies. Previous studies have shown that mother university support and family support show an anti-correlation to exchange students' adaptation and life satisfaction [20]. The possible reason as well as explanation is that international students spend longer time studying abroad

while the exchange students spend studying abroad for just a short period of time. In addition, the results show that friend support and life satisfaction serve as a full meditation role while family support and other support also play a full meditation role. That being so, it is suggested that in the future related schools can strengthen training and help students improve their self-confidence, improving social skills and enhancing contacts with parents of international students while schools' giving more concerns and caring about academic and life would potentially reduce inadaptability and thus increases life satisfaction.

(b) The results of this study show that family support and friend support for Chinese students in Bangkok have a positive impact on self-efficacy, similar to previous studies [21][22]. In particular, family support is more significant, to strengthen friends, teachers, students and other support, so that students have a stronger self-efficacy.

(c) The results of this study show that the higher the self-efficacy of Chinese students in Bangkok, the higher the satisfaction of life, which is consistent with past studies [23]. This result reveals that we can indirectly promote the life satisfaction of international students by improving the self-efficacy of international students.

(d)Finally, self-effectiveness plays an intermediary role in social support and life satisfaction, similar to previous studies [24].We tell us not only to pay attention to the direct impact of international student social support on life satisfaction, but also pay attention to the intermediary role of international students' self-efficacy, and improve the self-efficacy of international students will also help to improve the life satisfaction of international students.

The research object of this study is a Thai university Chinese students in Bangkok, suggested that future researchers use different schools and more objects in different regions for cross-sectional in-depth study, can add more intermediary or mediation variables, including self-efficacy and life satisfaction also use localized research variables, and can be added to the interview of international students, etc. to increase the accuracy of the analysis.

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The Relationship among Parental Involvement, Educational Expectation and Secondary School Students' Academic Achievement

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Abstract

The success of one's future career is closely related to his/her academic performance at secondary school. Parental involvement and educational expectation (both parents' and children's expectation) are significant indicators to predict students' academic achievement. The paper undertakes a systematic literature review to gain insight into the relationship among parental involvement, educational expectation, and students' academic achievement. It is found that there appears to be a multi-mediating model between parental educational expectations and students' academic achievement, which parental involvement and children's educational expectation play mediating roles. In addition, some contextual variables, such as socioeconomic status and ethnic group, should be also considered when the relationship above are explored.

Keywords: parental involvement, educational expectation, academic achievement, secondary school student

1. Introduction

Education has been playing a crucial role either in ancient times or modern society. Higher academic achievement is increasingly important to maintain a competitive edge in the job market [1]. Academic achievement in one's early life often be taken to predict his/her educational success in the further.

In one's early life, the stage at secondary school is an important transition period. As we know that students in the period, ages 13 to 16, are usually facing lots of diverse adolescent changes from the physiological, cognitive to parent-child relationship [2]. Some researchers deem the changes often bring poor performance to the students, even affect their career achievement [3]. So, the factors influencing the secondary school students' academic achievement need be explored.

There are many factors that may affect the secondary school students' academic achievement, such as family, peer, teachers [4][5]. But among those factors, some researchers consider family as an important micro-system, because it is so closely connected to individual, according to the

ecological system theory [6]. It is reported parental engagement had positive impact on students' achievement, because parents not only provided children necessary resources to understand schoolwork, but also increases children's motivation [7][8]. However, other researchers found there was no significant or negative effect between parental involvement and academic achievement [9]. Consequently, the achievement may be predicted or how to predict depend on the interaction of other factors.

Educational expectation may be another predictive index to evaluate students' academic achievement. According to the self-determination theory, individuals would choose behaviors that conform to their expectations [10]. It was point out that individual who had higher educational expectation, were more likely to improve his/her achievement, because he/she had more specific goal [11]. In a word, educational expectation is closely related to academic achievement.

In this research, the definitions of parent involvement, educational expectation and academic achievement, and relationship among those variables will be discussed.

2. Literature review

2.1 Academic achievement

Academic achievement/performance is an important indicator to measure students' learning outcome. Academic achievement refers to the knowledge and skills acquired through certain teaching or training. The way of assessing academic achievement generally adopts achievement test, like math and reading scores, language learning scores [12]. Briefly, academic achievement is a significant aim of students' development as well as an important part of school education.

2.2 Parental involvement

Parental involvement is an essential term describing parental educational action. The term of parent involvement was proposed by Epstein (2001) in the 1980s and gradually extended to the cooperation among families, schools and communities [13]. Seginer (2006) reported that parental involvement referred to the various behaviors taken by parents in family and school to promote children's academic outcomes and psychological development ranging from educational beliefs to all kinds of participating action [14]. Thus, parental involvement can be defined as all forms of behaviors that parents take in order to advance their children academic performance.

The dimensions of parental involvement are always related to its categories. About the dimensions, different researchers proposed various views. Parental involvement has been divided into two categories of school-based and home-based involvement by some researchers

[15] [16] [17]. School-based involvement is often measuring using attending home-school meetings, communicating with teachers, other parents or community members and organizations. Home-based involvement generally includes something such as guiding children homework, talking to children about what happened at their school, and participating in activities that may improve children cognition and intelligence. Grolnick [18] believed that parental involvement had three dimensions: the first dimension was behavior involvement, which mainly referred to the involvement of parents in children's education through physical and specific behaviors, such as guiding children to complete their homework and calling teachers to inquire about children performance in class activities [18]. The second dimension was cognitive/intellectual involvement, which mainly referred to providing appropriate learning materials or activities for children, such as reading together, discussing learning status with children, or taking children to libraries and museums in order to promote their cognitive development. The third dimension was personal involvement, which generally referred to the positive psychological and emotional support provided by parents for their children, such as communicating with them about learning and what happened in school. Epstein (2001) suggested that parental involvement included six types, which were parenting, communication, volunteering activities, family learning, decision-making and community collaboration. Based on the previous literature, parental involvement can be described as all forms of educational behavior taken by parents, aiming at helping their children get good academic performance [13]. Furthermore, parental involvement can be divided into two types of school-based and home-based involvement, according to the place where involvement activities take place. On the other hand, according to the involvement form, parental involvement has three dimensions of behavior, intellectual and emotional involvement.

2.3 *Parental involvement and academic achievement*

Parental involvement is closely related to their children' academic achievement. In order to reveal the relationship between parental involvement and children academic achievement, Kashahu *et. al*. [8] reported that there was a significant correlation between students' math and native language achievement and parents' participation, selecting 369 students aged between 14 and 15 as sample, and based on quantitative method. Ghazvini and Khajehpour [19] also found that children whose parents were often involved in their learning within the family or in school activities were more likely to have higher scores in the research on academic achievement and parental participation among 200 students and their parents in Tehran, based on questionnaire [19]. So parental involvement is an important predicting variable of children's educational performance and should be encouraged more in practice.

However, it should be pointed out that not all forms of parental involvement are related to children academic outcome. For example, it was proved that the overall supervision from

parents was the pattern of parental involvement most closely associated with higher academic achievement. Otherwise, the participating forms with strong correlation included high educational expectations, continuous communication with their children about school activities, and helping their children develop reading habits [20]. Some researchers found that some forms of involvement like parental regular checking homework was negatively related to academic achievement [21]. Even it was found that negative correlation existed between parental excessively frequent involvement (e.g. literacy and numeracy activities) and children's mathematics ability and reading scores, when parents excessively and frequently engaged their children's schoolwork, lacking the teaching skills [9]. In a word, the effect of parental involvement on children's academic achievement depend on the forms of involvement and quality.

2.4 Educational Expectation and academic achievement

The academic expectation refers to how much education level students would like to attain, which can predict a variety of academic outcomes, including grades, educational attainment, motivational levels [22]. Educational expectation includes two kinds of parental expectation and self-educational expectation.

Parental educational expectation can be seen as the realistic belief and assessment on their children's further achievement and outcomes [23]. Some studies showed that parental educational expectations were positively related to academic achievement [24]. Compared to the students who have lower level parental educational expectations, the students who have high level of parental educational expectations were more likely to get higher academic achievement [25]. In the same manner, Wang, Zhang and Xin [26] proved that parental educational expectation could positively predict children's math score, in the research on the western Chinese students. Moreover, it was suggested that parental expectations seemed to affect both the students' learning, either for Indigenous students or non-Indigenous children [27]. Briefly, Parental involvement is a key factor influencing children's achievement.

Students' self-education expectation is seen as the ideal goal set by students themselves, which is a factor closely linked to parental involvement. Parents' educational expectation acts as an external force to enable children to meet the requirements of their parents [28]. The students who own higher educational expectation always have stronger learning motivation [29], less violations and more opportunity to learn, which makes them get higher academic achievement. The fact was reported that students' self-educational expectation had a significant effect on their academic performance [30]. Furthermore, some researchers proved that there was not only a correlation between parental education expectation and children's expectation, but also between expectation (both parents' and children's) and children's academic performance [31]. In a

summary, either parents' or children's expectation is important to children's academic success.

The mechanism how parental educational expectation and students' self-educational expectation effect on the academic achievement have been paid attention nowadays. When both of parents and children have less expectation, like unnecessarily attending university, students were less likely to get higher testing score, and also entering or graduate from university. When parents' expectations and children's expectations are not consistent, for example, the expectational level is higher than children, the difference may decrease children's achievement [32]. At that moment, unreasonable parental education expectation may be considered as a kind of pressure [33], which then disadvantages children's mental health [34]. The research result was reported that students whose parent expectation exceed their self-expectation had higher level academic performance anxiety [35]. Those suggest the consistence between parental education expectation and children's expectation is quite important for children's academic performance.

2.5 *Parental involvement, educational expectation and academic achievement*

The previous research show that there is a complex relationship to exist between parental involvement and students' academic achievement. The mediating factors and interacting variables maybe exist between parental involvement and students' academic achievement, as Shute, Hansen, and Underwood [36 noted. We all have known that parental involvement and educational expectation are both important predictors for students' academic achievement. Thus, the correlation among the variables should be clearly discussed.

Although parental educational expectation could predict positively the children's achievement, other researcher has also found that parental educational expectation did not directly affect students' academic achievement but worked through other factors, for example, parental involvement [37] and educational investment [38]. Parents with high educational expectations often tend to invest more time and resources in their children's education, such as tutoring homework, communication with teachers.

Parental expectation may influence educational achievement through children's self-education expectations. As social cognition theory [39] noted, external factors can act on internal factors, and then affects individual behavior. Some studies proved that parental educational expectation played a key role in the development of children's self-educational expectation. Children's parental educational expectations at six years old were closely related to children's self-expectations at 13, and self-expectations played an intermediary role between parents' educational expectations and children's academic achievements, after controlling for demographic variables and children's previous academic achievements [40].

In addition, parental involvement can positively affect the development of children's educational expectation. Wang & Ngai [41] found that parental involvement like communication with teachers was greatly helpful to students' growth and goal planning [41]. Otherwise, positive involvement, such as parent-child interaction, providing educational resources, and paying much attention to children growth, have a strong stimulation effect on children's educational expectations [42]. It was proved that parental participation had a positive predictive effect on academic performance, with students' self-education expectation as the intermediary role [43].

Thus, there may exist the mechanism of multiple mediating effects among parental education expectation, parental involvement, students' self-education expectation and students' academic achievement.

2.6 Other factors

Socioeconomic status is significant external factor on parental educational involvement and students' academic achievement. It refers to the hierarchical ranking based on valuable resources acquired or controlled by the family, which is a comprehensive concept, generally reflecting the differences in the actual or potential resources acquired by the individua [44]. In order to measure socioeconomic status, family income, parents' educational level, occupation type, and family resources are often used alone or comprehensively as indicators of socioeconomic status in studies. Family income represents the economic resources provided by the family, while parents' education level and occupation are related to their intellectual resources, social status, social connections and social capital [45]. In a word, socioeconomic status is a key factor of individual development.

Some researchers have found that socioeconomic status played a key role in the relationship between parental involvement and students' academic achievement [46]. According to the social capital theory, the higher a family's socioeconomic status, the more attention it pays to children's education and the more active participation it takes, finally the more it can promote the children's development [47]. Compared with families of lower economic status, families with higher socioeconomic status can provide better educational resources and were more active in parental involvement such as communicating with teachers and children emotionally, because these parents often had a good educational theory and no economic pressure. Socioeconomic status should be taken as a significant controlling variable when parental expectation and students' achievement are discussed.

Besides socioeconomic status, ethnic group may be another factor affecting parental expectation and students' academic performance. There are ethnic differences in the influence

of parental educational expectations on students' academic achievement. It was indicated that the relationship between parental educational expectation and students' learning performance among European American parents was stronger than among racial/ethnic minority parents [22], specifically in the four processes including raising student motivation, instilling higher student beliefs, stimulating greater parental involvement; and increasing teachers' expectations. In addition, Asian families seem to be better at expressing their expectation, which may help their children to understand it. In addition, in the research about Chinese parental educational expectation and math achievement, it was shown that the predictive effect of parental educational expectations on academic achievement was weaker in minority families than in Han families due of different learning motivation and parental educational concept [26], because the minority parents were more likely to believe that children's learning was a natural development and there was no need to give excessive control like Han parents. Thus, ethnic group should be considered as a controlling variable when parental expectation and students' achievement are discussed.

In addition, there are other external factors exist to affect students' academic achievement. Santibañez [48] suggested that the learning condition of students who attended schools with less qualified teachers and poor learning resources, was worse than those in regular schools. Then it was reported that academic self-efficacy played a significant mediating role in the correlation between students' academic achievement and mothers' educational expectation [12]. Furthermore, teachers' support was also seen as an important factor, especially for secondary school students [49], because the support can decrease some adverse factors influencing on students' academic performance from their family [50]. Those demonstrate the mechanism on the students' academic achievement is rather complex.

3. Conclusion

Based on analysis of the previous literatures, it is found that, firstly parental involvement means all forms of activities, e.g. behavior, intellectual and emotional involvement, which may affect their children learning outcome in school. Moreover, the forms of involvement and quality seem more important. Secondly, educational expectation also affects students' academic performance, while the consistence between parental education expectation and children's expectation is more conducive to student achievement. Lastly, there seems to be a multi-mediating model between parental educational expectations, and students' academic achievement, which parental involvement and children's educational expectation play mediating roles. Thus, in future practice, on the one hand, parents should take more positive participation in children's learning, and focus on the high quality of participation; on the other hand, it may be quite necessary to develop some strategies in order to increase parental and students' positive educational expectation, and keep frequent communication with them. In addition, in future

research, the pathway on which parental involvement influence children's academic achievement through educational expectations could be tried to verify

4. References

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The Relationship between Teachers' Emotional Labor and Job Burnout in Primary and Secondary Schools: The Moderating Effects of Regulatory Emotional Self-Efficacy

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Abstract

To explore the relationship between teachers' emotional labor and job burnout in primary and secondary schools and the moderating effects of regulatory emotional self-efficacy, the survey data were collected from 420 in-service teachers in primary and secondary schools in Central China, South China, and Southwest China, using Emotional Labor Scale, Job Burnout Scale and Regulatory Emotional Self-Efficacy Scale. The results of hierarchical regression analysis showed that teachers' emotional labor can significantly positively predict teachers' job burnout and teachers' regulatory emotional self-efficacy cannot regulate the relationship between teachers' emotional labor and job burnout in primary and secondary schools.

Keywords: Primary and secondary school teachers; Emotional labor; Job burnout; Regulatory emotional self-efficacy

1. Introduction

1.1 Emotional labor and related research

Emotional labor is the third type of labor after physical labor and mental labor since it was officially proposed by Hochschild [1] and has become a research hotspot in the fields of organizational behavior, sociology, and psychology [2]. Teachers ranked second as school workers in occupation rankings based on emotional labor needs by Glomb and Kammeyer-Mueller [3]. Teaching is a form of emotional labor, and teachers devote a lot of emotional labor in teaching [4]. Zembylas (2002) explores the emotional laws of teaching from a post-structuralist perspective[5]. Yin and Lee [6] further point out that the four emotion rules of Chinese teachers' emotional feelings and expressions in professional scenes are passion, hiding negative emotions, showing positive emotions and using emotions to achieve teaching goals. Therefore, the research results of teachers' emotional labor can reflect the general situation of the mechanism of emotional labor [7].

Emotional labor refers to emotional management to produce a publicly visible expression or physical display, including two levels of surface acting and deep acting [1]. Emotional labor has a dual connotation, which can refer to emotional expression requirements and the

individual's emotional regulating behavior at work [8] [9]. The former job-focused is defined as display rules, and the latter employee-focused is defined as emotional labor strategies [1]. They are the two clues on emotional labor research. The research on the internal mechanism of emotional labor, on the one hand, believes that emotional labor allows employees to be respected, rewarded and promoted opportunities, thereby enhancing employees' self-fulfillment and job satisfaction, and can enhance the predictability and controllability of interpersonal communication, thereby Enhance employees' sense of security; the positive public emotional feedback induced will strengthen the consciousness of work, and increase the confidence and ability to cope with complex and challenging tasks [10]. However, on the other hand, because emotional labor requires continuous effort and more mental energy, if employees are in a state of long-term and high-intensity emotional labor, psychological energy cannot be supplemented or recovered in time, which may lead to disruptive behaviors such as emotional apathy, emotional exhaustion, bad mental health, and decreased job satisfaction. Empirical research shows that emotional labor has a strong predictive effect on organizational performance, employee mental health, work attitude and behavior, which is highlighting the theory of emotional labor research value and practical significance [11].

1.2 Job Burnout and related research

Many related studies have used burnout as an important indicator of the impact of emotional labor on teachers' mental health. Job burnout refers to the state of extreme fatigue of the body and emotions of workers in the helping industry when faced with excessive job requirements or stress, which ultimately manifests as functional disorders such as emotions and behaviors [12]. It includes three dimensions: emotional exhaustion, depersonalization and reduced personal accomplishment. Burnout has become an occupational disease in modern society, and it is common in many helping industry groups [13]. Teacher is a special helping occupation with high emotional involvement and heavy workload. Therefore, teachers have also become a high incidence group of job burnout. Teachers' job burnout not only affects their physical and mental health [14] [15] [16], but also has adverse effects on schools and students, and can even lead to resignation [17] [18]. Thus, teachers' job burnout has always been a topic of common concern in society and academia [19]. After the comprehensive implementation of China's basic education curriculum reform, primary and secondary school teachers are facing unprecedented work pressure [20]. The job burnout of primary and secondary school teachers is directly related to the quality of basic education and the healthy development of students in the future, which requires urgent care [21].

Research on the relationship between emotional labor and job burnout attracts the most attention. Generally speaking, emotional labor has a significant impact on all dimensions of job burnout [22]. According to the Conservation of Resource Theory (COR), both surface acting

and deep acting will consume the psychological resources of employees, but because deep acting can bring real feelings to customers, it is conducive to the formation of good interpersonal interactions, It will increase the satisfaction of emotional labor objects, so that employees will be compensated for their psychological resources, while the surface acting will always be inconsistent because of their internal feelings and external performance, which will cause self-disreality and cause further loss of employees' psychological resources. Therefore, most scholars believe that surface acting will cause job burnout [23], while deep acting will not cause burnout, but will reduce employees' level of job burnout and increase their job satisfaction [3]. However, the results of related empirical studies are not consistent. Some studies have shown that although deep acting has a certain positive predictive effect on job burnout, it has a weaker effect than surface acting; other studies have shown that deep acting has a positive effect on workers' health. There are beneficial effects. Specific to the teacher group, research has found that teachers' surface acting can significantly predict emotional exhaustion [24], deep acting negatively predicts emotional exhaustion and depersonalization but positively predicts personal accomplishment [24] [25]. Studies have also found that teachers' surface acting is not significantly related to emotional exhaustion, and deep acting is positively related to emotional exhaustion. Correlation meta-analysis results show that surface acting can be significant predicted emotional exhaustion, but the correlation between deep acting and emotional exhaustion is not significant.

1.3 Regulatory emotional self-efficacy and related research

Due to the inconsistent and even contradictory conclusions in the study of the main effects of emotional labor and the empirical research on the relationship with job burnout, the focus of theoretical research in recent years has turned to the exploration of moderator variables [26]. The study of moderator variables presents the highly contingent side of emotional labor, revising and even subverting many earlier theoretical cognitions about the effects of emotional labor [27]. At the same time, COR holds that employees carry out emotional labor, whether it is surface acting or deep acting, they need to make psychological efforts and exhaust resources. If these resources are not supplemented in a timely and effective manner, individuals will feel threatened, and sustained energy loss will lead to job burnout. Such supplementary resources include external material rewards, social support, and internal psychological resources such as self-esteem, self-confidence, and motivation [28]. Self-efficacy has motivational functions and is an important psychological resource. Therefore, regulatory emotional self-efficacy is considered to have a positive effect of offsetting part of resource exhaustion and weakening negative effects in the process of emotion regulation [29].

As a result, the research on regulatory emotional self-efficacy has attracted attention in recent years [30]. Regulatory emotional self-efficacy refers to an individual's self-confidence in

whether they can effectively regulate their emotional state, including the ability to identify emotional states, the ability to understand their own feelings about others, and the management of positive and the ability to express negative emotions. Individuals have large differences in the management of emotional experiences in daily life. The reason lies not only in individual management skills, but also in the individual's sense of ability to regulate their own emotions [30]. Individual's regulatory emotional self-efficacy can directly predict mental health such as depression and anxiety [31], can directly predict life satisfaction, or can promote the level of life satisfaction by increasing individuals' positive expectations for the future to maintain a positive self-concept and generate positive thinking.

Studies by Bandura, Caprara et al. [32] show that regulatory emotional self-efficacy can enable individuals to effectively cope with stress, can improve the quality of interpersonal relationships, can improve subjective well-being, and also plays an important regulatory role in prosocial behavior, criminal behavior, depression, addictive behavior, etc. The research of Pugh et al. also showed that surface acting self-efficacy has a significant negative regulating effect on the relationship between surface acting and emotional exhaustion. In another MeMo model, surface acting self-efficacy not only weakened the reduction of emotional commitment caused by surface acting, but also weakened the increase in absent behavior caused by low emotional commitment, and finally made the direct significant interaction between surface acting and absent behavior become completely insignificant [29]. These studies show that when individuals believe that they can effectively regulate their emotions (even if they are the surface acting), the negative effects of emotional labor on the individual's internal state and subsequent behavior will be significantly weakened. From the perspective of the mechanism of action, emotion-regulated self-efficacy as a source of motivation may also provide support for deep acting processes, but at present, no empirical research has explored the moderating effects of self-efficacy on deep acting processes [27].

1.4 Research questions

To sum up, this study explores the moderating effect of regulatory emotional self-efficacy on the relationship between emotional labor and job burnout of Chinese primary and secondary school teachers through empirical research. Therefore, the research questions are as follows:

1) : Can the emotional labor of teachers in primary and secondary schools significantly predict the job burnout?
2) : Can the regulatory emotional self-efficacy of teachers in primary and secondary schools regulate the relationship between the emotional labor and job burnout?

2. Research method

In order to explore the relationship between primary and secondary school teachers' emotional labor and job burnout, and the moderating effects of regulatory emotional self-efficacy, this study uses a questionnaire survey. The research participants, tools, testing process and statistical methods are as follows.

2.1 Participants

A questionnaire survey was conducted among in-service teachers in primary and secondary schools in Central China, South China, Southwest China, and other places using a convenient sampling method. 412 valid questionnaires were collected, of which 142 were males(34.47%),the rest were females w(65.53%); 90 were under 25 years old(21.84%), 140 were 25-30 years old(33.98%), 94 were aged 31-35(22.82%), 52 were aged 36-40(12.62%), and the rest were over 40 years old(8.74%); 223 were from primary schools(54.1%), 189 were from secondary schools(45.9%); 335 were from private school(81.31%), the rest came from public schools(18.69%); 49.8% were head teachers, and the rest are instructor; teachers' education is mainly bachelor degree or above. Teachers with bachelor's degree account for 59.953%, teachers with master's degree or doctoral degree account for 7.29%, teachers with junior college degree account for 28.88%, and teachers with junior college degree or less account for 3.88%. 49.8% were class teachers.

2.2 Research tools

Emotional Labor Scale: the Chinese scale revised by Tang and Gu [33] based on Grandey's emotional labor strategy scale. It has two dimensions, surface acting and deep acting, and contains 11 items. The scale uses a Likert 7-point scale, in this order: 1 means "completely disagree", 2 means "basically disagree", 3 means "a little disagree", 4 means "unsure", 5 means "a little agree" , 6 means "basically agree", 7 means "completely agree". The higher the score, the higher the degree to which the participant adopt this strategy. In this study, the result of exploratory factor analysis shows that KMO is .866, and Bartlett's sphericity test is significant ($\chi2$ = 1173.025, df = 55, p <.001), and this data is suitable for factor analysis. The content structure of the scale presents a clear two-factor structure, which can account for 59.68% of the variance after the rotation. The overall validity of the scale is good. The reliability analysis shows that the overall Cronbach's α of the scale is .705, which has good reliability.

Job Burnout Scale: Wu et al. [21] further revised the Burnout Scale for Primary and Middle School Teachers based on Maslach and Jackson's Burnout Scale MBI-ES. The scale is divided into three dimensions of emotional exhaustion, depersonalization and reduced personal accomplishment, and contains 22 items. The scale uses Likert 7 points to score, and uses a number from 1-7 to indicate the frequency of feelings on each item on himself, in order: 1 means "completely disagree", 7 means " completely agree ", the higher the score, the more

serious the degree of burnout. In this study, the results of exploratory factor analysis show that KMO is .917, and the Bartlett sphericity test is significant ($\chi2$ = 4811.513, df = 231, p <.001), this data is suitable for factor analysis. The content structure of the scale presents a clear three-factor structure, which can account for 60.40% of the variance after the rotation. The overall validity of the scale is good. Reliability analysis shows that the overall Cronbach's α of the scale is .800, which has good reliability.

Regulatory Emotional Self-Efficacy Scale: The Chinese scale was compiled by Wen, Tang and Yu [34] based on the latest revised Regulatory Emotional Self-Efficacy (RES) by Caprara [35]. The scale consists of 12 items, using a 5-point Likert scoring, followed by: 1 for "completely disagree", and 5 for "completely agree", the higher the score, the stronger the emotional self-efficacy of the participants. In this study, the result of exploratory factor analysis shows that the KMO is .892, and the Bartlett sphericity test is significant ($\chi2$ = 1782.965, df = 66, p <.001), this data is suitable for factor analysis. The content structure of the scale presents a clear three-factor structure, which can account for 54.74% of the variance after the rotation. The overall validity of the scale is good. The reliability analysis shows that the overall Cronbach's α of the scale is .866, which has good reliability.

2.3 Testing process and statistical methods

Use the "questionnaire star" to set up the questionnaire and issue it online via WeChat. Group test is mainly carried out in schools. Each school is responsible for training the questionnaire before the test by the director, including the purpose of the research, questionnaire instructions, the content of the questionnaire, and the process of the test, highlighting the anonymity, strict confidentiality of the survey, and collecting the information for academic research only and filling it out truthfully etc. After the test is completed, the researcher collects back-end data and organizes and verifies the questionnaire. SPSS 22.0 software is used to perform reliability and validity analysis, descriptive statistical analysis, correlation analysis, difference analysis and multi-level regression analysis on the data.

3. Results and analysis

3.1 Common Method Bias test

This study uses a cross-section to collect data from participants' self-reports at the same time point, there may be common method bias (CMB). So, the study uses Harman's One-factor Test to investigate the common method bias, referring to research practices [36]. The result shows that A total of 7 common factors with eigenvalues greater than 1 are extracted, and the variation explained by the first common factor is 26.14%, which is far below the critical value of 40%, indicating that the conclusions of this study are not affected by common method bias.

3.2 Descriptive statistics and correlation analysis

The mean, standard deviation, and correlation matrix of emotional labor, burnout, and regulatory emotional self-efficacy are shown in Table 1.

Primary and secondary school teachers' emotional labor scores (M = 4.404, SD = .884) and job burnout scores (M = 4.049, SD = .754) are at the upper-middle level (theoretical median is 4), and the regulatory emotional self-efficacy score (M = 3.672, SD = .677) is at the upper-middle level (the theoretical median is 3). This shows that teachers in primary and secondary schools are currently devoting a lot of emotional labor, have a high sense of regulatory emotional self-efficacy, bear a certain degree of occupational pressure, and have a high level of job burnout. This situation should be a cause of concern.

The Pearson correlation analysis is shown in Table 1. As can be seen from the table, emotional labor with burnout (r = .456 <0.7, p <.01), and with emotional self-efficacy (r = .214 <0.3, p <.01) have significant positive low Correlation, but emotional self-efficacy (r = .049, p> .05) is not significantly associated with job burnout.

Table 1 Means, standard deviations, and correlations of primary and secondary school teachers' emotional labor, burnout, and emotionally regulated self-efficacy

Variable	M	SD	1	2	3
1.Emotional labor	4.404	.884			
2. Job burnout	4.049	.754	.456**		
3. Regulatory emotional self-efficacy	3.672	.677	.214**	.049	

*Note: * p < .05 ** p < .01 *** p < .001*

3.3 Difference analysis

The independent sample t test is used to examine the differences about teachers' emotional labor, job burnout, and regulatory emotional self-efficacy in the four demographic variables: gender, the nature of the school, the section of teaching, the whether head teacher. And the analysis showed that: teachers from different nature school have significant difference in emotional labor (t = -3.943, p <.001), job burnout (t = -3.345, p <.001), and emotional self-efficacy (t = -4.089, p <.001), and private school teachers' emotional labor (M = 4.485, SD = .870), job burnout (M = 4.108, SD = .746), regulatory emotional self-efficacy (M = 3.736, SD = .667) are greater than public school teachers' emotional labor (M = 4.052, SD = .864), job burnout (M = 3.793, SD = .737), regulatory emotional self-efficacy (M = 3.393, SD = .653); There are significant differences in the regulatory emotional self-efficacy of teachers in different sections of teaching (t = 3.276, p <.001), and the regulatory emotional self-efficacy of teachers in primary school (M = 3.771, SD = .640) was greater than that in secondary school (M = 3.555,

SD = .702); whether head teacher has significant differences in job burnout (t = 1.532, p = .021), and the head teachers' job burnout (M = 4.135, SD = .789) is bigger than teachers' job burnout (M = 3.964, SD = .709).

The single-factor independent sample ANOVA analysis was used to investigate the differences about emotional labor, job burnout, and regulatory emotional self-efficacy among primary and secondary school teachers in three demographic variables: marital status, education degree and teaching age. The results show that: there are significant differences among different education degree in emotional labor (F (4,407) = 3.815, p = .005) and regulatory emotional self-efficacy (F (4,407) = 3.885, p = .004). Scheffe's post hoc comparison shows that college degree and bachelor degree teachers have a greater emotional labor and regulatory emotional self-efficacy than junior college teachers (p <.05); Teachers with different marital status have significant differences in regulatory emotional self-efficacy (F (2,409) = 9.468, p <.001), Scheffe's post hoc comparison shows that married teachers are higher scores in regulatory emotional self-efficacy than unmarried teachers and others (p <.05).

3.4 Regression analysis

This study used regression analysis to test the relationship between emotional labor and burnout of teachers in primary and secondary schools. According to Table 2 Model 1, the result show that emotional labor of primary and secondary school teachers can significantly predict job burnout (β = .456, p <.001). The predictive power R^2 reaches 20.8%.

3.5 Regulatory effect analysis

To explore the moderating effect of self-efficacy on teachers' emotional labor and job burnout, first of all, centralize the scores of the emotional labor and regulatory emotional self-efficacy in order to avoid the collinearity problem caused by the high correlation between predicted variables and interaction terms. Then the multiplication product is calculated as the interaction term. The results of collinearity diagnosis show that there is no collinearity between the independent variables (*VIF* <10) (Myers, 1990). Then multi-level regression is used to test the effects of teachers' emotional labor, regulatory emotional self-efficacy and interaction term on job burnout. The analysis results in Table 2 show that the negative effect of the interaction of "emotional labor*regulatory emotional self-efficacy" on job burnout is not significant (β =-. 039, p = .338), indicating that the moderating effect of regulatory emotional self-efficacy on the relationship between teachers' emotional labor and job burnout does not exist.

Table 2 A Summary Table of Hierarchical Regression Analysis of the Moderating Effects of Regulatory Emotional Self-efficacy on Emotional Labor and Job Burnout

Variable	Burnout			*VIF*
	Model 1	Model 2	Model 3	
Emotional labor	.456***	.466***	.461***	1.071
Regulatory emotional self-efficacy		-0.050	-.054	1.057
Emotional labor ×Regulatory emotional self-efficacy			-.039	1.039
R^2	20.8%	21.0%	21.2%	
$\triangle R^2$		0.2%	0.2%	
F	107.499***	54.404***	36.496***	

*Note: * $p < .05$ ** $p < .01$ *** $p < .001$*

4. Discussion and suggestions

This study explores the relationship between primary and secondary school teachers' emotional labor and job burnout, and the moderation role of regulatory emotional self-efficacy. The results show that the teachers' emotional labor can positively predict job burnout significantly, but the moderating effect of regulatory emotional self-efficacy is not significant.

4.1 Primary and secondary school teachers' emotional labor can significantly predict teachers' job burnout.

The results of this study are consistent with the existing studies Erickson & Ritter, Wu et al. [7], Hu and Sun [37]. This may be because, according to the Conservation of Resource Theory (COR), emotional labor will consume employees' psychological resources, but the rewards obtained cannot make up for the lost resources, so the overall resources of employees are lost, and burnout occurs. Teachers must take more responsibility for not only students' academic performance, but also their mental health and social emotional learning [38], and teachers of private schools have higher requirements for emotional work in their interactions with students, parents and colleagues, and have to devote more emotional labor [6], which is more likely to cause teachers' burnout. Therefore, it is recommended that society, parents, and schools ought to understand more about the hard work of teachers, give them more respect and understanding, reduce teachers' unnecessary psychological loss, reduce emotional stress, and then reduce job burnout. This study explores the overall impact of overall emotional labor on job burnout, but the impact of different emotional labor strategies on the three dimensions of job burnout may be different and need to be treated differently when modeling [7]. Future research can further explore the effects of surface acting and deep acting of emotional labor on different dimensions of job burnout.

4.2 The moderating effect of regulatory emotional self-efficacy on the relationship between emotional labor and job burnout is not significant.

The result of this study is inconsistent with previous studies [29] [32]. They found that regulatory emotional self-efficacy has the positive effect of offsetting some resource consumption and weakening negative effects in the process of emotion regulation, and can enable individuals to play an important role in regulating stress and depression. The results of this study show that regulatory emotional self-efficacy has a certain negative inhibitory effect on the relationship between emotional labor and burnout, but this inhibitory effect is very weak and not significant. This may be because, according to the Conservation of Resource Theory (COR), there are other moderating mechanisms between the relationship between emotional labor and job burnout, such as salary compensation, social support, organizational support, students feedback, etc., to better complement emotional labor loss. It may also be because this study does not distinguish the different dimensions of emotional labor and job burnout when modeling, but only explores the impact of the interaction of emotional labor and regulatory emotional self-efficacy on job burnout in a general way, while ignoring their possible different impact mechanism [7]. Then there is the cultural relevance of the emotional labor scale in this study. The emotional labor of Chinese teachers is a complex cultural polyhedron, which not only reflects the teachers' emotional regulation ability, but also reflects their teaching professional level. It has specific moral and ethical implications, so the empirical research scale on Chinese teachers' emotional labor needs to fully consider the appropriateness of culture [39]. Therefore, future research can use the teacher's emotional labor scale that is more suitable for Chinese culture to test, to further explore the influence of different dimensions of teachers' emotional labor and regulatory emotional self-efficacy on different dimensions of job burnout, and can also increase other study on the model of regulatory action path.

To sum up, this study finds that the emotional labor of primary and secondary school teachers can significantly predict job burnout. At the same time, the result shows that the moderating effect of regulatory emotional self-efficacy on the relationship between emotional labor and job burnout of primary and secondary school teachers is not significant. Future research can further explore the moderating effects of teachers' regulatory emotional self-efficacy on the relationship between the two's different dimensions.

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Self-Investigation into Foreign Language Anxiety in Chinese-English Bilingual Oral Interpretation Class

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Abstract

Studies of foreign language anxiety (FLA) exist in the areas of writing, speaking, listening and reading. However, far too little attention has been paid to done in the field of oral interpretation despite the fact that this activity could be exceedingly highly anxiety-provoking for both beginners and experienced translators. The question asked in this study was: (1) How much foreign language anxiety do English as a Foreign Language (EFL) students experience when they practice English-Chinese Oral Interpretation in their class; (2) Are there significant differences in their experience based on gender and classroom environment? Senior student volunteers (N=60, 71% females, 28% males) completed an adapted version of the Foreign Language Anxiety Scale (Horwitz and others, 1986). Students reported making mistakes (X=3.450, s=.98), being asked directly by the teacher (X=3.7, s=. 89) as well as perceived lack of preparation (X=3.4, s=1.1) to be the most highly provoking situations. No significant differences were found in FLA experiences of students based on gender (p=0.684, p>.05) and classroom environment (p=.450, p>.05). Nevertheless, it was concluded that high levels of FLA was reported among students. Pedagogical recommendations were made.

Keywords: Foreign Language Anxiety, Chinese-English Bilingual Oral Interpretation Class

1. Introduction

1.1 Background of the Study

Undoubtedly speaking, English is nowadays regarded as a universal language used and adopted around the world. There is an increasing demand in the need and the frequency of English use for interaction in our daily life. Also, in all walks of life, be it international business, politics, or economics, English is an essential tool of communication for information exchange. In that case, learning English as a Foreign Language (EFL) is crucial and fundamental especially when applying it to other aspects of our life. Obviously, the acquisition of proper English proficiency is deemed as a prerequisite both for those who tend to be competitively-driven in the job market and who are apt to excel themselves outstandingly in the domain of academy. Specifically, EFL students in Taiwan who learn and use English for oral interpretation purpose do so in a bilingual context. If they are inclined to be the promising interpreters or translators in the future, they would need to focus their attention to the training of speaking and interpreting ability or the

process of continuous practice in the classroom intensively. However, Horwitz, Horwitz and Cope [1] noted that ―speaking in the target language seems to be the most threatening aspect of foreign language learning. In addition, according to Alrabai [2], ―foreign language anxiety is a phenomenal issue as well as mainly a negative factor which would possibly interfere with one's foreign language (FL) learning. Apparently, foreign language anxiety (FLA) is noticeably perceived as significant and influential in affecting EFL students' foreign language achievement, particularly in speaking and interpreting abilities in Chinese-English bilingual oral interpretation classroom. Elaldi [3] suggested that ―English language anxiety can be described as a social anxiety dependent upon interactions with others. Additionally, Kruk [4] singled out that ―a specific teacher; set of classmates, or intercultural setting may probably cause language anxiety. That is to say, language anxiety not only occurs in language learning, but also in social contexts. Moreover, Krashen [5] noted that ―anxiety contributed negatively to an affective filter, which made an individual less responsive to language input. The terms ―foreign language anxiety and ―EFL students' learning seem to be closely associated. Therefore, FLA is a significant issue which must be considered in making the learning process effective particularly in Chinese-English bilingual oral interpretation classes for EFL students. Hence, as the objective of this research, it is important to investigate how FLA influences learners in Chinese-English bilingual oral interpretation classes.

1.2 Purposes of the Study

In light of the problems regarding how FLA would influence EFL students' speaking and interpreting abilities in oral interpretation class, the purposes of the study were firstly, to investigate English as a Foreign Language students' reports about their foreign language anxiety (FLA) experience in an *Oral Interpretation* class, specifically in the Chinese-English contexts. Secondly, it aimed to probe into the relationship between gender differences and foreign language anxiety (FLA) and thirdly, to explore the relationship between different classroom environment and foreign language anxiety (FLA).

1.3 Research Questions

In this study, the attention concentrated on EFL students' perspectives towards experiences and feelings of FLA in *Oral Interpretation* class. Therefore, with an attempt to explicitly understand the role of FLA played in foreign language learning, three research questions were asked:

A. How much foreign language anxiety do EFL Chinese students experience when they practice Chinese-English bilingual oral interpretation in class?
B. Based on gender, are there any significant differences among EFL Chinese students' foreign language anxiety experiences?
C. Based on classroom environment, are there any significant differences among EFL

Chinese students' foreign language anxiety experiences?

1.4 Significance of the Study

Language anxiety, as so many relevant studies increasingly conducted, has been strongly highlighted in the past decades. It, indeed, has directly affected foreign language acquisition, language performance and even language achievement. This research was carried out to expectedly provide an understanding of the issue particularly involving foreign language anxiety experienced by EFL students in an *Oral Interpretation* class of a university in Taiwan. Studies to address this question have been rarely, if at all, done. Hopefully, the findings obtained from this research would provide insight and background knowledge to learners and teachers of Chinese-English *Oral Interpretation* and *Translation* classes. Knowing how much, if any, foreign language anxiety is experienced by the students would help address this feeling. For, foreign language anxiety might greatly affects a student's language performance and oral and interpretation skills.

2. Literature Review

2.1 Anxiety as a Psychological Construct

Anxiety in light of constitutive definition from several dictionaries is ―the state of feeling nervous or worried that something bad is going to happen‖ or ―a feeling of nervousness and worry about something‖ (Oxford Advanced Learner Dictionary; Collins CoBuild Dictionary). In addition, Marwan [6] defined anxiety as ―the subjective feeling of tension, apprehension, nervousness, and worry associated with an arousal of the autonomic nervous system. It is clear that anxiety from psychological perspective would be considered as a certain mental state that negatively pose an impact on human behavior, particularly in learning as the primary concentration discussed in this study. On the other hand, psychologists attempt to categorize anxiety as several different types, such as personality trait anxiety, transient anxiety state [7]. Putting it in another way, trait anxiety is conceptually interpreted as ―a relatively stable personality characteristic [8] while state anxiety, on the basis of Mahmoodzade's [9] viewpoints, refers to ―the moment-to-moment experience of anxiety in turn. Plus, Luo [10] even extended state anxiety as ―response to a particular anxiety-provoking stimulus as an important test. Accordingly, language learners in possession of ―high levels of trait anxiety‖ are generally―nervous people who ―lack of emotional stability [11]. Furthermore, MacIntyre and Gardner [12] proposed another type of anxiety―situation-specific anxieties. They claimed that situation-specific anxiety, conceptually speaking, is a ―here-and-now experience following the investigation of various research areas in anxiety. That is to say, learners individually with different personality by nature may, in all probability, ―deemphasizes the situation determinants of anxiety because anxiety is a ―stably distinctive characteristic of an individual throughout different situations, context, or moments [13]. In the previous section, the researcher

generally and conceptually overviewed three types of anxieties, personality trait anxiety, state anxiety and situation-specific anxiety in response to the anxiety as psychological construct. Anxiety, indeed, plays a tremendously significant role in all aspects. However, this research in anticipation of anxiety investigated in English as a foreign language (ESL) context mainly took the position on foreign language anxiety. Hence, further discussion concerning anxiety in EFL context from learners' perspectives would be elaborated in the upcoming section.

2.2 Language Anxiety

Language anxiety, based on the definition by Horwitz and Young [14], is, to a certain extent, considered as the characteristic of language learning causing the language learners to be anxious. That is to say, all language learners would possibly have the experiences of feeling worried or uneasy during the process of language acquisition, which may potentially spark off the influential effect on language learning as the research results argued [15]. Additionally, Riasati [16] pointed out that anxiety appears as ―a state of apprehension, a vague fear indirectly associated with an object. For this reason, anxiety is regarded as a barrier when referring to language learners' success in foreign language achievement of high level of proficiency [17]. As a consequence, it is obviously established that language anxiety plays as a significant role on par with ―one of the best predictors of success in language learning [18] However, in the following section, a plethora of research outcomes clearly demonstrate further the occurrence of anxiety in foreign language acquisition.

Speaking of psychology, conceptually, the definition of foreign language anxiety can be established as the character of learners' feeling ―tensioned‖ and suffering from ―apprehension‖ as well as the attitudes presented in second language contexts [19]. Put it another way, anxiety, described as a psychological state, reveals a ―subjective feeling of unhappiness, tension, nervousness, and worry associated with an arousal of the autonomic nervous system [20]. Theoretically, it would be clearly perceived that language learners in possession of anxiety-involved issue may potentially experience apprehension under certain circumstances or contexts where there is a need as well as the requirement of using a second or foreign language. Also, from the findings of research conducted by Hsu [21] and Huang [22], trembling, nervousness, quick heartbeat, distraction, forgetfulness, sweating easily, palpitation and sleep disorder are diagnostically believed as the ubiquitous signs possessed by learners with anxiety. In that case, those language acquirers would very likely become overbalanced in their language performance due to the detrimental effects caused by foreign language anxiety. Last but not least, Bashosh, Nejad, Rastegar and Marzban [23], in responding to some potential components to touch off language learning anxiety, placed emphasis on ―situation-specific anxiety which would be consciously sensed and observed in language classroom, which extends the focus on to another domain of language anxiety—ESL/EFL classroom anxiety.

2.3 Classroom Anxiety

In light of classroom anxiety, foreign language education was firstly introduced by Horwitz, Horwitz and Cope [24]. They elaborated further that foreign language education is a—complex process consisting of several components such as—learners' self-perceptions, beliefs, and behaviors particular to environments of foreign language learning. However, as above-mentioned situation specific anxiety would be experienced only in a particular and specific situation [25]. Subsequently, foreign language anxiety, on the basis of MacIntyre and Gardner's [26] explanation, is viewed as a situation specific anxiety occurring in a foreign-language-learning setting that requires learners to adopt a foreign language as the target language for interaction. Furthermore, Fallah [27] suggested that language learners experienced anxiety in the classroom as the moment when they usually suffer from apprehension when foreseeing an inaccurate assessment of its cause. As Öztürk and Gürbüz [28] wrote, students somehow may have apprehensive and uneasy about a forthcoming event because they are unsure of the outcome. This is to say, hypothetically, if learners experience the fear of negativity, then language anxiety, in all probability, would progressively form. In other words, language anxiety may turn out to be a regularly occurring phenomenon that leads into students' typically nine-times-out-of-ten pressure and disadvantaged performance in foreign language. On the other hand, anxiety in the classroom, from learners' perspectives, functions as a variety of physiological and emotional states [29] because it would be relatively difficult for classroom students to manage their noticeably on-the-go anxiety. In summary, students who are involved with all kinds of language-learning contexts or settings may undergo the anxiety-ridden experiences especially when they are requested to speak a foreign language for communication. In addition, much has been done previously by many well-known scholars as well as researchers to explore the relationship among language anxiety, motivation, attitudes and language achievement. Prior research findings apparently suggested that the relationship between language anxiety and achievement or between learning motivation and success in foreign language acquisition indicated strongly significant differences [30] [31]. In short, the studies previously referred above clearly make a reasonable point that language anxiety and affective variable are reciprocally and closely associated. The quality of ESL/EFL learners' language performance may come from or rely on the level of students' anxiety—speaking performance specially explored and discussed in this research. However, since no studies has been previously conducted and found on Interpretation and Translation, the researcher, for this reason, hopes to find out the relationship between FLA and Interpretation and Translation Skills.

3. Research Method

3.1 Research Participants

The subjects of this study were 60 undergraduate senior students, consisting of 43 females (72%) and 17 males (28%), from the Department of English at University in Taiwan. After distributing

the questionnaires to the participants, a total number of 60 students (see Table 2) completed all questionnaires. In addition, these participants were respectively selected from two English *Oral Interpretation* classes.

Table 2 Summary of Research Participants

Gender	Number	Percentage
Male	17	28%
Female	43	72%

3.2 Instrument

3.2.1 Foreign Language Classroom Anxiety Scale (FLCAS)

In this study, the questionnaire contained two parts including (1) background information of the participant (gender and class) and (2) *Foreign Language Classroom Anxiety Scale* (*FLCAS*). The *FLCAS* is used to measure students' foreign language anxiety in foreign language classroom. The original scale contains 33 items in a five-point *Likert* scale including strongly disagree (1), disagree (2), no comment (3), Agree (4) and ―Strongly Agree‖ (5). All the items were designed based on the following categorical variables (see Table 3):

Table 3 Category of Questionnaire Item to survey

Categorical variables	Item
Communication apprehension	1, 4, 9, 14, 15, 18, 24, 27, 29 30, 32
Test anxiety	3, 5, 6, 8, 10, 11, 12, 16, 17, 20,21,22, 25, 26, 28
Fear of negative evaluation	2, 5, 8, 11, 14, 18, 22, 28, 32

The internal reliability of this questionnaire in the study was demonstrated by Horwitz, *et al.* [32], achieving an alpha coefficient of .93 which means that the questionnaire has relatively high internal consistency. A Chinese modified version of FLCAS, translated by the present researcher, was used in the present study. Thus, this adapted questionnaire had 26 items on how anxious foreign language learners feel. Furthermore, the FLCAS was adapted to conform to the foreign language environment of Oral Interpretation and Translation class. Below is an illustration of the adaptation:

> *Item 2 (original):I don't worry about making mistakes in English class.*
> *Item 2 (adapted):   I don't worry about making mistakes in my Oral*
> *Interpretation and Translation classes.*

3.3 Pilot Test

The researcher, in implementation of the Chinese-version FLCAS, randomly selected 30 senior English majors for the pilot test to complete the questionnaires in September 2010. After collecting back all 30 questionnaires, all the responses were computerized through reliability analysis of SPSS Statistics version 17.0. The Chinese-version FLCAS in the pilot study, as

presented in Table 4, indicated the internal reliability with an internal consistency coefficient of .873 (Cronbach's alpha, N= 26). Accordingly, the modified Chinese-version FLCAS was considered a good construct validity and reliability over all of 26 items.

Table 4 Pilot Test of the Adapted FLCAS

	Reliability Statistics	
Cronbach's Alpha	Cronbach's Alpha Based on Standardized Items	N of Items
.873	.857	26

4. Research Results

All students' responses toward 26 items collected from the adapted-version *FLCAS* questionnaire were analyzed over *SPSS version 17.0* descriptively and indicated in Table 5, including the Mean (*X*), Standard Deviation (*SD*) for individual item.

Table 5 Descriptive Statistics for Ss' experiences of FLA in Oral Interpretation Class

Item	N	Mean	SD	Item	N	Mean	SD.
1	60	3.317	.983	14	60	3.764	.890
2	60	3.450	.982	15	60	3.250	.836
3	60	2.917	1.013	16	60	3.200	.953
4	60	3.067	1.103	17	60	2.733	.989
5	60	2.833	1.028	18	60	3.400	1.092
6	60	3.083	1.078	19	60	3.083	1.124
7	60	3.050	1.080	20	60	3.017	.833
8	60	2.933	1.039	21	60	2.650	.936
9	60	2.667	.968	22	60	2.833	.977
10	60	2.600	.887	23	60	2.833	.960
11	60	2.950	1.064	24	60	3.150	.899
12	60	3.317	.833	25	60	2.933	1.023
13	60	2.467	.833	26	60	3.467	1.112

4.1 How much foreign language anxiety do EFL students experience when they practice English-Chinese oral interpretation in class?

According to Table 5, the participants in this study revealed high degree of students' experiences of foreign language anxiety in English-Chinese oral interpretation class on the average (*X=3.286, SD=.981*). Additionally, among 26 items, the findings also pointed out that three items had the highest degree of students' experience of foreign language anxiety. These were item 2 (*X=3.450, SD=.982*) ―*I don't worry about making mistakes in OI class*‖, item 14 (*X=3.764, SD=.890*) ―*In OI class, I feel my heart pounding when I am going to be*

asked to interpret in class‖, and item 26 (*X=3.467, SD=1.112*) ―*In OI class, I get nervous when the teacher asks questions which I haven't prepared in advance*. However, in comparison to those items showing students' experience of highest degree of foreign language anxiety, findings clearly demonstrated that students' experience of lowest foreign language anxiety in English-Chinese *Oral Interpretation* class were found in item 10 (X=2.600, SD=.887) ―*In oral interpretation class, I get depressed when teacher corrected my mistake*, item 13 (X=2.467, SD=.833) ―*In oral interpretation class, I am afraid that my teacher will correct every mistake I make*, and item 21 (X=2.650, SD = .936) ―*Oral interpretation class moves so quickly that I worry about getting left behind.*

4.2 Gender Difference and Students' FLA in OI Class: Based on gender, are there any significant differences among EFL students' foreign language anxiety experiences?

In Table 6, the result of the t-test for all participants (N=60) showed that there is no statistically significant difference at .05 level of significance between EFL students' gender difference and FLA in oral interpretation class (F=.684, p>.05).

Table 6 Gender Difference & Ss' experiences of FLA in Oral Interpretation Class

		t-test					
			95% Confidence Interval of the Difference				
	Mean	SD	Lower	Upper	t	df	Sig. (2-tailed)
Male Female	-.07946	.98448	-.47710	.31818	-.412	25	.684*

4.3 Class Environment and Students' FLA in OI Class Based on classroom environment, are there any significant differences among EFL students' foreign language anxiety experiences?

In Table 7, the results of the t-test for all participants (N=60) showed that there is no statistically significant difference at .05 level of significance between class environment and students' FLA in oral interpretation class (F=.450, p>.05).

Table 7 Class Environment & Ss' experiences of FLA in Oral Interpretation Class

		t-test					
			95% Confidence Interval of the Difference				
	Mean	SD	Lower	Upper	*t*	*df*	Sig. (2-tailed)

Class A Class B	-.03142	.20884	-.11578	.05293	-.767	25	.450*

5. Conclusion and Discussion

Being an English-major EFL student, selecting Translation as study focus in particular, this student- researcher has come to experience a stream of different level of anxiety during the process of practicing English-Chinese oral interpretation in the classroom. Thus, in turn, I was motivated to conduct a study to explore EFL students' FLA in OI class based on gender difference and classroom environment. On the other hand, I expected the research findings to be beneficially helpful references for related future study in this area. This chapter consists of three different sections, containing the summary of major findings in this study, constructive recommendations suggested to EFL classroom instructors, and limitations of the study. The researcher carried out this quantitative research with aim of investigating EFL students' FLA in OI classroom on the basis of gender difference and classroom environment. The research data collected from students' FLCAS questionnaire were quantitatively analyzed through t-test of SPSS version 17.0 program to obtain the Mean (X) and Standard Deviation (SD) for individual item as well as presented in previous chapter. On these grounds, the results of the present study would be summarized according to the Mean and Standard Deviation that were obtained. Firstly, we could conclude with certainty that EFL students (N=60) enrolling in English-Chinese OI classroom averagely show a high level of classroom foreign language anxiety (X=3.286, SD=.981). Individually, some items, presented as below, out of total 26 indicated students' higher level of FLA in some specific situations:

Item 1:In oral interpretation class, I never feel quite sure of myself when I am interpreting in English.

Item 2:I don't worry about making mistakes in OI class.

Item 4:I am afraid when I don't understand what the teacher is saying in OI class.

Item 6:In OI class, I think that my classmates' English is better than mine.

Item 7:In OI class, I am so nervous that I forgot what I know.

Item 12:I feel confidence when I express myself in OI class.

Item 14:In OI class, I feel my heart pounding when I am going to be asked to interpret in class.

Item 15:In OI class, I always feel that my classmates are better than I in doing interpretation practice.

Item 16:In OI class, I feel shy when I interpreting in front of my classmates.

Item 18:I start to panic when I have to speak without preparation in OI class.

Item 19:I worry about the consequences of failing my OI class.

Item 20:I don't feel pressure to prepare very well for OI class.

Item 24:I get nervous when I don't understand any words the teacher said in OI class.

Item 26:In OI class, I get nervous when the teacher asks questions which I haven't prepared in advance.

Nevertheless, three of these findings, including item 2 (X=3.450, s=.982), 14 (X=3.764, s=.890) and 26 (X=3.467, s=1.112), are specifically worth discussing. These three items, in terms of FLA level, are considered the top-three highest ones as mentioned in the previous chapter. Students, in some way, (Item 2) may lose courage to err upon their performance in Oral Interpretation class. One possible explanation for this result lies in that Asian students may feel embarrassed over their mistakes in the classroom. Additionally, ―Confucian ideology possibly influences and emphasizes perfect performance, students feared making mistakes and being laughed at, which made them (very) anxious when speaking to others in class [33]. Further, from item 14, students in oral interpretation class reported that they tremble when knowing that they are going to be asked to speak at class. In the classroom, students, based on the researcher's experience, would rather to keep quiet than express themselves openly. According to Leary [34], it is also possible that ―the strongly didactic nature of teaching and exam-oriented schooling caused many students to fear being the focus of attention and thus became anxious when singled to speak English in class. Last but not least, according to item 26, students in Oral Interpretation class reported becoming nervous when the teacher asks question which they have not prepared in advanced. This could be that students may possibly spend very little of their time for English practice in daily life, which would lead to their being less familiar with using English naturally or being tensed when speaking a foreign language. Melouah [35] and Minghe & Yuan [36] pointed out that lack of practice provoked much anxiety in many students when speaking English to others in class as well as in Oral Interpretation and Translation setting.

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Chinese International Students' Academic Self-efficacy and Psychological Well-being in Thai Higher Education

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Abstract

With the rapid economic development of China, more Chinese students pursue their higher education abroad. Thailand as an influential member of China – ASEAN, has becoming one of the most popular destinations for Chinese students. This present research explored the academic self-efficacy and psychological well-being of Chinese international students during their first year adaptation to Thailand higher education. Data was collected through semi-structured questionnaires, which included brief measurements of academic self-efficacy, academic stress levels, personality, and flourishing scale. Results show that students' academic self-efficacy is predicative of psychological well-being, during the beginning of their adjustment to study in Thailand. These findings are critical for the following longitudinal research, which is designed to study the changes of Chinese international students' academic self-efficacy and psychological well-being in Thailand, and for teachers to better understand international students' adjustment difficulties, thus improving their study experience in a new culture.

Keywords: Chinese international students; academic self-efficacy; psychological well-being; flourishing; Thailand higher education.

1. Introduction

It is believed that overseas experience offers advantages over the Chinese equivalent in terms of career development Li [1]. With the rapid economic development of China, and the close collaboration with ASEAN (Association of Southeast Asian Nations), more Chinese students choose to pursue higher education in Thailand (MOE) [2]. The 35ᵗʰ ASEAN Summit 'One Vision One Identity One Community 'was held in Bangkok in 2019. ASEAN-China relationship has made big progress in the recent years. As a growing population, Chinese international students' psychological well-being is of great significance to understand their study and living experience in Thailand. Increasing anecdotal and empirical reports are detailing that a high proportion of international students are depressed while studying abroad [3].

It is important to understand Chinese international students with the difficulties inherent in adjustment to a new environment. The adjustment difficulties that students confront in the new academic and social environment may lead to psychological distress, including depression,

anxiety, and somatization, as well as mental health problems. It is meaningful to measure their academic self-efficacy and psychological well-being and personality. As the level of cross-cultural adjustment, including psychological adjustment, varies from different sojourning groups due to the difference of their characteristics [4].

This present study intends to explore the academic and psychological difficulties faced by Chinese international students, during the process of adapting to Thailand higher education. It examined how students' academic self-efficacy and psychological well-being are correlated with each other, and how their academic stress and personality had contributed to their psychological well-being during their study in the Thailand.

2. Literature Review

2.1 Psychological and Sociocultural Adjustment

A variety of theories and studies have been applied and conducted to explore, analyse and explain human adjustment processes for a new environment from different perceptions [5]. Ward and Kennedy [4] regard psychological adjustment and sociocultural adjustment as the central process of cultural adaption. Psychological adaption refers to students' adjustment to stress, anxiety, depression and other emotions caused by living in a new environment. Sociocultural adaption is more about daily life, interaction, academic and work adjustment, which are closely associated with social skills or the cultural learning paradigm [6].

2.2 Academic Stress

Academic stress refers to the stress or pressure caused by academic related demands [7]. It occurs to students normally when they cannot meet the requirements with respect to academic studies. Excessive academic stress cab affect students' academic performance and mental health negatively [8].

2.3 Academic Self-efficacy

Academic self-efficacy was defined by Pajares & Schunk [9] as an "individuals' confidence in their ability to successfully achieve academic tasks at a designed level" (p. 17). Bandura [10] refers to academic efficacy as "students' beliefs in their efficacy regulate their learning activities and to master academic subjects" (p. 10).

2.4 Psychological Well-being

The concept of psychological well-being has been widely used by researchers and health advisors to refer to an individual's mental health status or general psychological functioning [11]. Deci and Ryan [12] concisely defined psychological well-being as a combination of positive affective states such as happiness, feeling good and functioning with optimal

effectiveness in individual and social lives. There are two important facets in psychological well-being, subjective well-being and "eudiamonic" well-being [13]. Subjective well-being includes feelings of happiness, life satisfaction, and positive affect/emotions [13] [14]. Another aspect of psychological well-being, "eudiamonic" well-being, is regarded as the purposeful and meaningful aspect of psychological well-being, which is defined as "the fulfilment of human potential and a meaningful life" (p. 1034) [15]. It involves pursing meaning in life and perceived thriving in the face of existing challenges [16] [17]. In another word, it emphasizes human flourishing and focuses more on positive functioning [18]. Ryff [16] has developed a model that breaks down psychological (eudaimonic) well-being into six dimensions including self-acceptance, personal growth, purpose in life, environmental mastery, autonomy, and positive relations with others.

2.5 Academic Self-efficacy and Psychological Well-being

The changes in study and living environment could cause a series of problems for foreign students and the role of international students' self-efficacy beliefs in overcoming challenges could be critical for their psychological adjustment [19] [9]. For example, it is common for overseas students to confront academic difficulties at various stages of their learning adjustment to the education system of the host country, while students who have the belief to conquer study related problems are highly engaged in academic activities, even when facing difficulties in various study situations. Their strong sense of control leads them to choose to tackle problems with a positive attitude instead of abandon themselves through negative emotions. However, for learners with low levels of academic self-efficacy who doubt their own capabilities to study and master knowledge, especially when encountering problems in academic settings they tend to continuously feel stressed and fail to manage their thoughts. Continued exposure to the pressures of academic learning, and the demands of student life lead to academic stress, anxiety, and depression, and result in poor academic performance. As noted earlier, academic self-efficacy has been suggested as one of the strongest predictors of academic performance [10] [20], in return academic performance is the most direct source of academic self-efficacy [5]. Thus, considering the importance of academic performance to international students [6], high levels of academic self-efficacy help them to achieve positive overall adaptation outcomes. Consistent feelings of depression and anxiety due to academic issues contribute to the decrease in students' psychological well-being. Academic self-efficacy, as the significant predictor of a student's academic performance and academic stress, is also predictive of psychological well-being.

3. Methodology

3.1 Participants

A convenience sample of 95 Chinese international students from a China-ASEAN International

College of a University in Bangkok comprised of the participants in this study. A necessary condition of being a participant in this research is that they are in term one of their first academic year studying in Thailand. As this present study is the beginning period of a longitudinal designed research. It is critical to capture students' psychological status from the very beginning of their adjustment process, thus to compare the changes and analyze cross-lagged correlations among influential factors. A small sample size was chosen in this study as the delivery method is designed to be face-to-face. It allows the author to explain participants' questions effectively, and ensure the respondents are answering questions in a good standard by waiting while they are answering [21]. The distribution of sexes balanced: 46 of the students were women, and 49 were men. Their ages ranged from 17-23. Only four of the participants had short time period experiences of studying abroad prior to study in Thailand.

3.2 Research Design

This present paper displayed the first time period of a longitudinal panel design study, in a sample of Chinese students in Thai universities. It will be applied to explore the following research questions:

1) What is the level of academic self-efficacy and psychological well-being in Chinese international students studying in Thailand?
2) How do the academic stress, academic self-efficacy and psychological well-being of Chinese international students are correlated with each other?

3.3 Questionnaire

The questionnaire in this survey consisting of four parts: background information, college activities, opinions about the activities affect your abilities, and estimate of gains. The questionnaire is predominantly structured with closed question items. The first section collects students' personal details including gender, university, year of study, English entrance score, and the total length of their stay in Thailand. The next section is comprised of 3 scales: the Motivated Strategies for Learning Questionnaire (MSLQ): Self-efficacy for learning and performance, focusing on measuring students' academic self-efficacy; the Ten-Item Personality Inventory (TIPI), a brief measure of the Big-Five personality dimensions, including extraversion, agreeableness, conscientiousness, emotional stability and openness to experiences [22]; and the Psychological Flourishing Scale (PFS) [23] generally measures the respondent's self-perceived success in essential areas of well-being including social relationships, self-esteem, purpose, and optimism. Additionally, respondents' levels of academic stress were assessed through the direct question "How stressful was your academic life this term?" that is scored in a 10-point Likert-type format regarding the levels of stress. There are two open

questions to gather respondents' self-perceived changes in their academic self-efficacy and psychological well-being.

4. Results and Discussion

4.1 Data analysis

As Table 5.1 indicates, the results show mean scores of academic stress level ($M = 5.44$, $SD = 1.99$), academic self-efficacy ($M = 3.8$, $SD = 1.25$) and psychological well-being scale (Flourishing Scale) ($M = 4.35$, $SD = 0.53$) individually. Mean scores for academic self-efficacy scale (Table1) show that, on average, students tended to rate their academic self-efficacy beliefs between point 3 and point 4 on the Likert scale. This indicates that as a whole, the sample of 95 Chinese international students had a relatively medium-low sense of academic self-efficacy. Similarly, it can be seen that participants' average Flourishing Scale score is just slightly medium-high level. The respondents' average scores for academic stress indicate that students are experiencing reasonable academic stress level during the beginning of their study in Thailand.

Table 1 Mean scores of academic stress, academic self-efficacy and psychological well-being

	Academic Stress	Academic Self-efficacy	Psychological Well-being
Mean	5.44	3.8	4.35
SD	1.99	1.25	.53

Note. N = 95. Academic self-efficacy was measured by using a 7-point scale with descriptors at "1" ("Not at all true of me") and "7" ("Very true of me"); Psychological Well-being is measured by Flourishing Scale, which used a 1-7 Likert scale ranging from strongly disagree to strongly agree; Academic stress = Academic stress level. Academic stress level was measured by a 10 points Likert scale ranging from 1-10 (from no tress to extremely stressed).

Table 2 displays the correlations among academic stress, academic self-efficacy and Psychological Well-being. It can be seen that academic self-efficacy was strongly negatively correlated with academic stress level ($r = -0.28$, $p < .01$); modestly positively correlated with psychological well-being at ($r = 0.15$, $p < .05$). It can be predicted that those participants with a good sense of academic self-efficacy also tended to hold a good sense of flourishing ability. It also indicated that the students who experiencing higher academic stress levels tended to rate themselves lower on the academic self-efficacy scale. However, students' academic stress level was not significantly correlated with their psychological well-being ($r = 0.06$, $p > .05$).

Table 2 Correlations among academic stress, academic self-efficacy and psychological well-being.

Measure	Academic Stress	Academic Self-Efficacy	Psychological Well-being
Academic Stress		-.28**	.06
Academic Self-efficacy			.15*

Notes: N = 95.

**. Coefficients are significant at p < .01.

*. Coefficients are significant at p < .05.

Table 3 Mean scores of the Big Five personalities

	Extra version	Agreeable ness	Conscientious ness	Emotional Stability	Openness to Experiences
Mean	3.77	4.4	3.82	4.04	3.88
SD	.93	1.13	.8	.82	.82

Notes: N = 95. Ten-Item Personality Inventory - (TIPI) of the Big Five: Extraversion; Agreeableness; Conscientiousness; Emotional Stability; Openness to Experiences.

Table 3 displayed the mean scores of the Big Five personalities. It shows that these Chinese international students tend to have relatively higher agreeableness *(M = 4.4, SD = 1.13)* then the rest four personalities. They are having a medium level of emotional stability (*M* = 4.04, *SD* = 0.82).

Table 4 Correlation among psychological well-being and the Big Five personalities

Measure	Extra version	Agreeable ness	Conscientious ness	Emotional Stability	Openness to Experiences
psychological well-being	-.02	-.08	.00	-.01	.11

Notes: N = 95.
**. Coefficients are significant at p < .01.
*. Coefficients are significant at p < .05.

According to Table 4, Flourishing Scale was not significantly correlated with four of the five aspects of personalities. It means that these students' psychological status cannot be predicted their personalities, at least at the beginning of their study in Thailand. Their medium slightly high level of psychological status is not related with their personalities. This could be due to they are still in the curious period of their journey to a new cultural.

4.2 Academic Self-efficacy as A Contributor of Psychological Well-being

Academic achievement as the primary goal of students, especially for these Chinese international students who went aboard with parents and friends' expectations, plays critical role in their psychological well-being status. Academic self-efficacy as one of strongest predictor of students' academic achievement [19] [9], was also proved to be a significant predictor of Chinese international students psychological well-being in this present study ($r = 0.15$, $p < .05$). However, these Chinese international students in Thailand are having a medium low level of academic self-efficacy ($M = 3.8$, $SD = 1.25$), this could be explained by their new experience of adjusting to a new educational environment and system, and exploring the new academic expectations from professors and university in Thailand. As the data was collected within the end of their first term, there could be no sufficient sources of their confidence for academic achievement yet. This is an important implication for staff in Thai universities to provide Chinese international students with practical academic instructions. This is also supported by the research findings of Chinese international students in U.K. higher education [24]. There is no doubt that these sojourners are facing various adjusting issues especially at the very beginning their time to study in Thailand; it's also their first time to stay away from families and friend to start their new study life, their psychological well-being level is not high, but also not low. This could be resulted by their curious period and exciting for new experience.

5. Conclusion

The results of the present study indicated that although the Chinese internationals students experienced medium high academic stress and relatively medium low academic self-efficacy during the beginning period of studying abroad, they still tended to have a stable and fine psychological status. Academic self-efficacy is indeed a significant predictor of these Chinese students' psychological well-being during study in Thailand. There academic achievement plays a vital role in their study life in Thai higher education. Due to the participants are all fresher's and data was collected during term one of their academic study (which serves as time period one of data collection in the whole longitudinal design), the students' personalities were not proved of relating with their psychological well-being. However, this study concerned of what factors contributed to Chinese international students' psychological well-being and academic self-efficacy in long term of studying abroad, including how they change from the very beginning, the middle and the end. It is hoped that findings reported from this study will be useful to researchers in gaining more insight into the issue of enhancing Chinese international students' academic self-efficacy and psychological well-being in Thai higher education. On the other hand, hopefully, these findings and their implications can benefit those Chinese students who are studying or going to study in Thailand.

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A Study on Mental Health and Cultural Adaptation of Chinese College Students in Thailand

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Abstract

The purpose of this study is to explore the impact of life adaptability of Chinese college students studying in Thailand on mental health problems, with cross-cultural adaptation as the moderating variable. The results of descriptive statistics, reliability and validity analysis, correlation analysis and regression analysis showed that, there are no significant difference in the dimensions of cross-cultural adaptation, college student' life adaptability and college students' mental health problems between the grade level and the duration of residence in Thailand; College students' life adaptability, family, interpersonal relationship, emotion and self-worth have significant positive effects on college students' mental health problems; Intercultural adaptation has no moderating effect on college students' life adaptability and mental health.

Keywords: Thailand, Chinese college students, Cross-cultural adaptation, Mental health

在泰中国留学生心理健康与跨文化适应之相关研究

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摘要

通过问卷调查法对在泰中国大学留学生生活适应力对心理健康问题的影响，以跨文化适应为调节变量进行调查，结果分析发现年级阶段和在泰居留时间对跨文化适应、大学生生活适应力以及大学生心理健康问题各个维度不存在显著差异；大学生生活适应力家庭、人际关系、情绪和自我价值对大学生心理健康问题具有显著正向影响；跨文化适应在大学生生活适应力和大学生心理健康问题之间不具有调节作用。

关键词：在泰国中国留学生；跨文化适应；心理健康

1. 引言

学生留学的选择从早期的欧美等西方国家，转向更多元化的选择。在东南亚地区，泰国是继新加坡和马来西亚之后第三个最受欢迎的东南亚国家。联合国教科文组织统计研究所（UNESCO Institute for Statistics）的数据显示，1999 年至 2012 年间，泰国的国际大学生人数增

长 97.9%，从 1882 人次增至 20393 人次。大多数的国际留学生来自亚洲邻国，以中国为最大的留学生输出国。泰国出入境事务处显示，2015 年在泰国居住的中国公民人数总数为 91272 人；而从学术研究显示，在过去的十年中，这一数字高达 35 万至 40 万（Fernquest & Wangkiat, 2016）。因此，在泰国留学的中国留学生也在不断增长（Chen, You, & Chen, 2018），泰国因较低的消费水平，以及独特迷人的东南亚文化，成为中国留学生主要考虑的国家之一。并且，随着 2010 年中国-东盟贸易区的建立，留学泰国的中国学生群体数量呈直线上升趋势，比之 2001 年增长了近 10 倍。目前，在泰国留学的中国学生达到 4 万人次，占在泰国留学的人数的四分之三，中国成为了泰国大宗留学生输出国（沈姝涵、陈奕桦，2017）。

如今，出国留学逐渐成为年轻人的普遍经历。然而，留学生一旦接触到一个新的环境和随之而来的"陌生感"，所需面临的多重挑战就逐渐显现（Nada, Araújo, 2018）。此外，留学生还面临着文化转型的挑战和超过一般生活和学业的压力（Briset, Safdar, Lewis，& Sabatier, 2010），以及，外国学生经常体验到孤立和孤独的感觉（Sakurai, 2010）。世界卫生组织（World Health Organization）注意到文化冲击给这些学生带来的无数困难，包括:语言困难、对不熟悉的社会规范的适应、饮食习惯、风俗习惯和价值观、教育制度的差异、孤立和孤独、思乡之情，以及已建立的社会网络丧失等（Toyokawa and Toyokawa，2002: 363）。

当人类无法应对环境的变化时，就会产生情绪困扰和生活障碍，因此在跨文化的适应过程中就会使人遇到困扰、失控和障碍，也就是奥伯格（1960）所说的"文化休克"——当个体失去了熟悉的社会环境和文化，对不熟悉的社会交往信息产生深度的焦虑。Brown（1981）说"文化休克是所有旅居者去到他国所遇到的普遍问题"。Kim（2001）也认为文化休克给跨文化适应造成困难，是跨文化适应过程必经的心理体验。在跨文化心理适应过程中，个体一般都会因语言沟通障碍而产生压力和焦虑，缺乏社会支持而产生无助感和失落感，若自身人格不够完善，适应技能不够也会产生迷失感和无能感（陈秀琼、林赞歌，2017）。

本研究针对在泰国留学的中国学生，以泰国三所大学的中国留学生为对象，调查中国学生心理健康与跨文化适应的关系。根据本研究的背景以及文献数据的梳理，提出以下研究目的。

1.1 研究目的

A. 探究在泰中国留学生的心理健康与跨文化适应之关系。
B. 探究在泰中国留学生年级对心理健康和跨文化适应的差异。
C. 探究在泰中国留学生居留时间对心理健康和跨文化适应的差异。

1.2 研究问题

根据本研究的研究目的及文献梳理，提出以下研究问题。
A. 在泰中国留学生的心理健康与跨文化适应之关系为何？
B. 在泰中国留学生年级对心理健康和跨文化适应是否有显著差异？
C. 在泰中国留学生居留时间对心理健康和跨文化适应是否有显著差异？

2. 文献综述

2.1 国际留学生心理健康定义

有关心理健康的定义，世界卫生组织（World Health Organization）将心理健康定义为一种健康状态，在这种状态下，个人能够正确认识自己的能力，能够应付正常的生活压力，能够有效地工作并能够为社会做出贡献。心理健康包括我们能够享受生活，忍受痛苦、失望和悲伤等感情的灵活性，以及对自己和他人的尊严和价值有基本信念（Universities UK, 2015; Chen, You, & Chen, 2018；陈玥玮，2010）。

心理健康包括有智力正常、情绪良好、人际关系和谐、适应环境和人格完整这个五个评价标准。同时，心理健康还有狭义和广义之分，狭义的心理健康是指没有心理障碍和行为问题；广义的心理健康则是指人能够有效进行心理调节、发挥更大的心理效能，即人在社会环境中健康生活，心理水平保持不断提高，能更好地适应社会生活并为社会和人类做出贡献（陈玥玮，2010）。

2.2 大学生心理健康之相关研究

心理健康问题是指包括情绪、行为或思维变化在内的健康状况（或这些变化的综合）。心理健康问题与工作、社会或家庭活动中的压力和问题有关（Parekh, 2015）。《2010 年平等法案》中提及到由有机、遗传、心理或行为因素（或这些因素的组合）在个体中发生而未被理解或预期而引起的心理健康问题作为正常发展或文化的一部分属残疾的定义，然而，大学必须注意，根据平安法案，并非所有的精神健康问题都会导致残疾（Universities UK, 2015）。

心理健康问题与工作、社会或家庭活动中的压力和问题有关。心理压力及问题的来源个人、学习压力、家庭压力以及社交压力等。当学生的学习压力大以及生活适应能力低时，学生可能会更容易产生忧郁、焦虑、自残等冲动行为。结合留学生群体的跨文化适应，依据研究目的，研究将时间管理、学习、家庭、人际关系、情绪、自我价值分为大学生生活适应力，而自我伤害、抑郁以及其他精神症状为心理健康问题两部分对心理健康与跨文化适应研究进行探讨（连廷甲，2003；徐长江、钟晨音，2002；李虹、梅锦荣，2002；Parekh, 2015；Mccabe, 2005; Royal College of Psychiatrists, 2016; Chen, You，& Chen, 2018）。

2.3 跨文化适应的定义

适应性这个术语始出于进化生物学中被概念化的，指的是一个群体在另一个新的物理环境中的生存（Harrison, 1993）。然而，当这一定义扩展到社会和文化领域时，它是在发展行为和心理适应机制的背景下进行解释（Harrison, 1993）。Kim（2000）将跨文化适应概念转变为一个系统而全面的过程，在这个过程中，移民从文化外来者转变为日益活跃和有效的文化内部人员。那些对新环境感到不熟悉或不舒服的人可能局限于在他们的自然环境中使用的潜在的不适应行为。大多数的跨文化适应可以分为两类：宏观层面和微观层面的视角。宏观层面的方法将适应视为一种群体现象，关注的是群体在宿主文化价值观或生活模式中的文化适应。例如：Berry（1990）提出跨文化适应的两个维度的互动模式：1）原始文化被重视和维护的程度；2）宿主文化被接受的程度。然而 Berry 的模式不足以全面解释文化适应，因为没有考虑到某些个人及情境因素（Wang, Li, Noltemeyer, Wang, Zhang, & Shaw, 2018）。其他研究（Ward & Searle, 1991）是从微观层面进行的，主要强调新进入者的人际关系和个人经历。而且，随着时间的推移，文化新来者很可能会经历适应性的波动。从这个意义上说，居住时间长短是一个重要的适应预测因

素，特别是在社会文化领域（Ward, 2001）。时间变化最初被证明是一个线性模型，通过这个模型，适应性向上倾斜。受到这个模型的启发，Oberg（1960）和 Lysgaard（1955）等研究人员建构曲线模型，以提供更精确的适应图像。这一模型最早由 Lysgaard（1955）在一项对在美国的挪威学者的研究中提出 U 型曲线描绘了适应的最低点，称为危机。Oberg（1960）改进一个类似的模型，随着时间的推移，它具有特定的适应阶段，奥伯格（Oberg）认为，文化适应始于蜜月期，这一阶段，旅居者往往对新体验感到兴奋，比如：结交新朋友或观察新文化。其次为文化冲击阶段，这和 Lysgaard 提到的危机思想是一致的，这个阶段的旅居者很可能会感到焦虑和冲突，如：他们可能感到孤独、孤立、无助，或发现很难用适当的行为来遵守东道国的文化习俗。下一个阶段是恢复期，在这个阶段，文化差异被接受和适应，旅居者已有稳定的情绪和积极的态度。最后的适应阶段，旅居者能够很好地发挥作用，达到更高的适应水平。

国际学者对跨文化适应提出不同的分类。部分研究者认同的跨文化适应的分类方式是 Ward、Routledge、Stephens 等的观点，认为跨文化适应分为两个维度，心理适应（Psychological Adaptation）和社会适应（Sociocultural Adaptation）（Ward, 1996;   Routledge, and Stephens, 1989; Ward, Bochner, & Furnham, 2001 ）。心理适应是以情感反应为基础，是指在跨文化接触中的心理健康和生活满意度。在跨文化接触的过程中，如果没有或者较少产生抑郁、焦虑、孤独、失望等一些负面情绪，可算达到心理适应。社会适应是指适应当地社会文化环境的能力，是否能有效地与当地文化的人接触和交流。还有研究者将跨文化社会适应分为三个维度，一般性适应（general adaptation）、工作性适应（work adaptation）和交往性适应（interact adaptation）一般性适应指对在异文化中生活的适应，包括日常生活有关的食物、住宿、生活费用以及健康医疗等。工作性适应是指熟悉新的工作任务、工作角色、工作责任和工作环境。交往性适应是指与东道国的人社会交往中所感受的舒适和熟练感。这些通常是旅居者最难达到的，因为在与东道国的人们直接交往时，双方文化的不同似乎难以逾越（Black, Mendenhall, & Oddou, 1991）。此外，Berry（1997）指出心理适应和社会文化适应是相互关联的，但在概念和经验上是不同，因为它们是由各种因素一同预测。Ward & Kennedy（1994）研究出心理适应是通过人格变量、生活变化事件和社会支持因素来预测；社会文化适应是由东道主和东道国之间的文化差距、文化认同、文化知识和能力、语言技能以及与东道国人民的接触等因素预测（Chen, You, & Chen, 2018）。

2.4 跨文化适应相关研究

国际著名比较教育研究专家阿尔巴赫（1991）在《从比较的角度看留学生的影响与适应》中研究比较教育界关于留学生跨文化适应问题的代表作。随后许多研究都借鉴该论文的一些观点和思路。另外，Williams（2002）的《海外留学经历对跨文化适应能力的影响研究：适应性和敏感性》，从跨文化交际学的角度研究跨文化适应。徐光兴（2000）则从心理学的角度研究中国学生在日本的适应。郑雪（1990）也研究中国学生在加拿大的心理适应问题。陈慧（2003）也从心理学的角度分析在北京留学生跨文化适应及影响因素。此外，陈向明（1998）的《旅居者和"外国人"——留美中国学生跨文化人际交往研究》从社会学、文化学、跨文化交际学及教育学等多学科的角度研究中国学生在美国的社会交往和跨文化适应。刘永辉和钱红艳（2017）则对在日本中国留学生跨文适应的问题进行了分析和探讨，研究结论指出，留学生的跨文化适应问题不仅在个人原因，还与所在的社会环境有关，而政府也是继个人和社会后的主要因素之一。Chen,

You & Chen（2018）研究关于在泰国中国留学生的心理健康与跨文化适应的问题，并指出不同程度的学历和在泰国的居住时间对留学生的心理健康与跨文化适应具有影响。

2.5 国际留学生心理健康与跨文化适应

文化是人类生活的环境，它决定人的存在，并且无处不在的影响着人的生活，人的生活也随之变化。当人无法应对环境变化时，就会条件反射产生情绪困扰和生活障碍。所以在跨文化适应的过程中遭遇包括沟通和文化差异、思乡、孤独、刻板印象和偏见，有限的社交技能和学术负担，面对一个或多个这样的问题会导致负面的心理结果，例如，抑郁症等。由于与东道国文化的交流和适应新的日常生活问题，国际留学生患抑郁症的风险更高（Graves，1967；Spencer-Oatey & Xiong, 2006；Jung, Hecht, & Wadsworth,2007）。有研究发现，在跨文化适应过程中个体往往会因语言沟通障碍出现压力感和焦虑感，缺乏社会支持系统就产生了无助感和失落感，若自身人格不够完善，适应技能不够就会产生迷失感和无能感，从而造成心理问题。留学生跨国家文化适应对其心理健康问题的影响作用显著，说明文化冲击严重影响了留学生的适应状况，并影响到其心理健康（Yakunina, Weigold, Weigold, Hercegovac, & Elsayed, 2013；Olivas & Li, 2006；Edword， 2010；Oberg，1960；Chen & Yu，2010；Abbas, Liang, & Liu，2014；Bebe，2011）。而那些独立生活能力较强的留学生能较好地适应留学地生活方式的差异和变化，从而减少心理健康问题的产生（Liu，2016）。

在美国的一项互联网的调查中，抑郁或焦虑障碍在本科学生中大概的发生率为 15.6%，在硕士和博士中为 13%（Eisanberg, 2007）。黎巴嫩的一项研究表明，医科学生患抑郁症的概率高达 28%（Mehanna, 2005）。另外。有研究采用网路调查法，对美国公立大学本科、硕士和博士研究生的自残及相关情况进行调查，7%的学生报告在 4 周内发生自残。男性与女性的比例差不多。而且，自残与家庭的社会经济地位有关系（Gollust, Eisenberg, & Golberstein, 2008）。

此外，随着时间的推移，旅居者很可能会经历适应性的波动。从这个意义上说，居住时间长短是一个重要的适应预测因素，特别是在社会文化领域（Ward et al. , 2001）。Chen, You & Chen（2018）针对一所泰国大学的中国留学生之大学生心理健康与跨文化适应研究其大学生心理健康包含生活适应与心理健康，跨文化适应包含学业生活、日常生活与跨文化沟通能力。结果显示，年级阶段不同对心理健康和跨文化适应有显著差异；并且居留泰国时间不同也对心理健康和跨文化适应有着显著差异。

2.6 研究假设

H1：大学生生活适应力与心理健康问题有显著相关；

H1a：大学生生活适应力时间管理对心理健康问题有正向影响；

H1b：大学生生活适应力学习对心理健康问题有正向影响；

H1c：大学生生活适应力家庭对心理健康问题有正向影响；

H1d：大学生生活适应力人际关系对心理健康问题有正向影响；

H1e：大学生生活适应力情绪对心理健康问题有正向影响；

H1f：大学生生活适应力自我价值对心理健康问题有正向影响；

H2：在泰中国留学生的跨文化适应会调节大学生生活适应力和心理健康问题的关系；

H3：在泰中国留学生年级对心理健康与跨文化适应具有显著差异；

H4：在泰中国留学生居住时间对心理健康与跨文化适应具有显著差异；

3. 研究设计

3.1 研究对象

本研究采用立意抽样，将于泰国三所大学对在校中国留学生进行。这三所大学具有大宗中国留学生。正式问卷预计为 600 份，三所大学各抽样 200 份。实际发放问卷 620 份，剔除无效问卷，最后的有效问卷 576 份，有效回收率 92.9%。具体数据如表一。

表一 正式样本分布（N=576）

类型		人数	百分比
性别	男	310	53.8
	女	266	46.2
院校	D 大学	256	44.4
	E 大学	173	30.0
	S 大学	147	25.6
在读年级	新生	14	2.4
	大一	116	20.1
	大二	159	27.6
	大三	139	24.1
	大四	24	4.2
	硕士	117	20.4
	博士	7	1.2
在泰国居留时间	一个月至三个月	20	3.5
	半年至一年	250	43.4
	一年至两年	192	33.3
	两年至三年	62	10.8
	三年至四年	22	3.8
	四年以上	30	5.2

资料来源：本研究整理

3.2 问卷检验

本研究的调研问卷分为"大学生生活适应力"、"心理健康"以及"跨文化适应"三个量表。

3.2.1 大学生生活适应力

"大学生生活适应力"有 6 个因素时间管理、学习、家庭、人际关系、情绪及自我价值和 25 个题项来衡量学生在日常生活中的适应情况。问卷设计从 1-"从未如此"到 5-"总是如此"的李克

特 5 点量表，得分越低说明生活适应力越强。Cronbach's α 值 0.943，量表的内部保持高度一致性。大学生生活适应力模型整体适配度 x²/DF=2.763，RMR=0.050，RMSEA=0.063，GFI=0.920，AGFI=0.903，NFI=0.934，CFI=0.919，x²/DF=2.763，因此大学生生活适应力模型整体适配度较良好。

3.2.2 心理健康

"心理健康"有 3 个因素自我伤害、忧郁和精神病症 22 个题项来评估学生的生理和心理的状况。问卷设计从 1-"从未如此"到 5-"总是如此"的李克特 5 点量表，得分越低说明心理健康问题越少或没有心理健康问题。Cronbach's α 值 0.944，量表的内部保持高度一致性。大学生心理健康问题模型整体适配度 x²/DF=2.983，RMR=0.043，RMSEA=0.064，GFI=0.893，AGFI=0.884，NFI=0.902，CFI=0.882，大学生心理健康量表 x²/DF=2.983，RMSEA=0.064，GFI、AGFI、NFI 以及 CFI 值均在接近符合程度，因此，大学生心理健康问题模型适配度良好。

3.2.3 跨文化适应

跨文化适应量表分为 3 个因素，包括：学业生活、日常生活和跨文化沟通能力，共 24 个题项来评估中国留学生在泰国的文化适应状况。问卷采用了李克特 5 点量表，从 1-"十分不同意"到 5-"十分同意"，得分越高说明跨文化适应越好。Cronbach's α 值 0.956，量表的内部保持高度一致性。跨文化适应模型整体适配度 x²/DF=2.890，RMR=0.053，RMSEA=0.078，GFI=0.926，AGFI=0.879，NFI=0.851，CFI=0.873，x²/DF=2.890，RMSEA=0.078，GFI、AGFI、NFI 以及 CFI 值均接近符合程度，因此，跨文化适应的模型适配度良好。

4. 实证研究结果分析

4.1 背景变量 t 检定差异分析

以单因子变异数分析进行年级阶段在大学生生活适应力、大学生心理健康问题和跨文化适应各维度的差异中，只有大学生心理健康问题量表中自我伤害 p=0.005<0.05，精神病症状及其他 p=0.010<0.05 达差异显著。因此，对自我伤害和精神病症状及其他进行 Scheffe 事后检定分析发现，进行两两对比大一和大三在自我伤害维度显著 p 值=0.015，均值差为 0.274，说明大三学生的自我伤害比大一学生低；大一和大二在精神病症状及其他维度显著 p 值=0.045，均值差为 0.237，说明大二学生在精神病症状以及其他比大一学生低。所以，本研究假设 H3 部分成立。

以单因子变异数分析在泰国居留时间在大学生生活适应力、大学生心理健康问题和跨文化适应各维度的差异中，大学生生活适应力量表中自我价值 p=0.021<0.05 和跨文化事情中的日常生活 p=0.044<0.05 达差异显著。因此，对自我价值进行 Scheffe 事后检定分析发现，进行两两对比的差异显著性 p 值介于 0.053~1.000 之间。所以，年级阶段在大学生生活适应力、大学生心理健康问题和跨文化适应的各维度均未达差异显，本研究假设 H4 不成立。

4.2 相关分析

大学生生活适应力和大学生心理健康问题相关分析中，时间管理、学习、家庭和人际关系

与自我伤害是低度正相关，情绪和自我价值与自我伤害是中度正相关；时间管理、学习和家庭与忧郁是低度正相关，人际关系、情绪和自我价值与忧郁是中度正相关；时间管理与精神病症状或其他是低度正相关，学习、家庭、人际关系、情绪和自我价值与精神病症状或其他是中度正相关。

大学生生活适应力与跨文化适应相关分析中，时间管理、家庭、人际关系、情绪和自我价值与学业生活是低度负相关，学习与学业生活是中度负相关；时间管理、学习、家庭、人际关系、情绪和自我价值与日常生活是低度正相关；时间管理、学习、家庭、情绪和自我价值与跨文化沟通能力是低度正相关，人际关系与跨文化沟通能力是中度正相关。

跨文化适应与大学生心理健康问题相关分析中，学业生活、日常生活和跨文化沟通能力与自我伤害是低度正相关；学业生活、日常生活和跨文化沟通能力与忧郁是低度正相关；学业生活、日常生活和跨文化沟通能力与精神病症状或其他是低度正相关。

4.3 回归分析

4.3.1 大学生生活适应力对大学生心理健康问题之回归

以大学生生活适应力为自变量，以大学生心理健康问题为依变量，进行线性单元回归分析。自变量共线性诊断结果表明，大学生生活适应力和大学生心理健康问题的 VIF 值小于 5，因此大学生生活适应力对大学生心理健康问题的方程式是成立的。

从影响系数显著性的结果来看，大学生生活适应力对大学生心理健康的回归系数显著，β 值为 0.642，t 值为 20.402（p=.000<.001），表示大学生生活适应力对大学生心理健康具有影响作用，假设 1 成立。

4.3.2 调节模型，以跨文化适应为调节变量

以大学生生活适应力为自变量，大学生心理健康问题为依变量，跨文化适应为调节变量，进行阶层回归分析。

表二 调节作用分析表

	大学生心理健康问题		
	模型 1	模型 2	模型 3
自变量			
大学生生活适应力	0.642***	0.602***	0.591***
调节变量			
跨文化适应	-	0.079*	0.091*
交互作用项			
生活适应力 x 跨文化适应			0.050
R²	0.412	0.417	0.419
Adj R²	0.411	0.415	0.416
F	416.258***	211.783***	142.320***

资料来源：本研究整理

注：*p<.05; ***p<.001

　　大学生生活适应力对跨文化适应、大学生心理健康问题的回归模型结果，Adj R²=0.415，说明解释量为41.5%，F=211.783，β=0.602、0.079，模型3中加入交互作用项（生活适应力 x 跨文化适应）的回归模型，结果为 Adj R²=0.416，说明解释量为41.6%，F=142.320，交互作用项β=0.050。因此，可以说明跨文化适应在大学生生活适应力和大学生心理健康问题间不具有显著调节作用，本研究假设 H2 不成立。

5. 结论与建议

5.1 背景变量对生活适应力、心理健康问题与跨文化适应差异讨论

　　本研究在泰中国留学生的生活适应力、心理健康问题和跨文化适应在大学生的年级阶段存在部分差异和在泰国居留时间不存在差异也就是研究假设 H3 部分成立和 H4 不成立，假设 H3 中一和大三在自我伤害维度显著，大一和大二在精神病症状及其他维度显著，说明不同年级对心理健康问题存在差异，这个结果与 Chen, You, & Chen（2018）结果不完全相同，他们的研究结果显示，年级阶段不同对心理健康（心理健康分生活适应力和心理健康问题）和跨文化适应有显著差异；并且居留泰国时间不同也对心理健康和跨文化适应有着显著差异，这可能和研究取样有关。

　　Chen, You, & Chen（2018）是取一所泰国大学的中国留学生，针对在校中国留学生进行研究取样，并且，参与调查的学生基数大。本研究针对三所泰国大学的本科、硕士以及博士各层次中国留学生进行取样，样本数较少，而在本研究中，在泰居留时间在大学生生活适应力、心理健康问题和跨文化适应不存在差异，这可能因为本研究大多数的参与对象为泰语专业的本科生，他们在来泰之前就已经事先了解了泰国的风土人情并能用语言进行交流，以及究参与对象多数是来自中国南方城市，在天气、环境以及饮食与泰国可能相类似。因此，在年级阶段和在泰国居留时间对本研究大多数的参与者生活适应力、心理健康问题和跨文化适应不存在差异。

5.2 生活适应力、心理健康问题与跨文化适应相关影响

5.2.1 生活适应力对心理健康的影响

　　本研究的研究结果中，生活适应力的家庭、人际关系、情绪和自我价值对心理健康问题具有正向影响也就是本研究假设 H1c、H1d、H1e 以及 H1f 成立。研究结果与陈玞玮（2010）的研究相近，其研究结果提出人际关系个人相对稳定的社会关系是个体借以获得各种资源的必要支持，个体通过自己的社会关系的帮助和支持可以解决很多日常生活中可能面临的问题，当个体的人际关系不好或太过局限时，会使个体适应生活不利，从而产生心理健康问题；而且在异文化的适应过程中当遇到挑战和挫折时，会引起相应的情绪反应，也可能导致心理健康问题的产生，让自己的情绪以合理的方式发泄出去，从而可以调适身心，减少心理健康问题的产生。陈秀琼和林赞歌（2017）在研究中提出，家庭支持高的留学生会比家庭低的留学生心理适应状况好，家庭从物质和感情上的支持影响学生的生活适应方式，家庭支持低的学生自我价值低相对缺少安全感并自卑，所以心理适应状况相对困难，而家庭支持高的学生自我价值高则比较自信

且能结交到自己的朋友，找到自己的生活。

5.2.2 跨文化适应对生活适应力和心理健康问题的调节影响

本研究的研究结果表明，跨文化适应在生活适应力和心理健康问题间不存在调节作用显著也就是本研究假设 H2 不成立。这一结果与大多数研究者的研究结果不相同，阎琨（2011）研究在美国的中国学生中说到跨文化经历都伴随着紧张、慌乱、疑惑和不确定，中国学生普遍存在着心理问题。而且，陈秀琼和林赞歌（2017）对安哥拉来华学生跨文化研究中在跨文化适应过程中产生了心理适应问题。以及，Chen, You & Chen（2018）研究关于在泰国中国留学生的心理健康与跨文化适应的问题中也提到留学生在跨文化适应过程中心理会产生不适的状况甚至于心理健康问题。

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The Soucial Construction of Teachers' Moral Image and Policy Design in China
—Based on the Social Construction and Policy Design Theory

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Abstract

The Social Construction and Policy Design Theory is one of the mainstream theories in western public policies during the 20ᵗʰ century. The framework indicates that policy design is relating to the social constructed image of target populations—positive or negative, and assign benefits and burdens to different groups. This article aims to analyse how to social constructed Chinese teachers' typical moral image and then makes influence on the policy design, besides, which reflected by teachers' distribution of benefits and burdens in policy design. In addition, this paper offers suggestions to induce and create the humanization of teachers′ moral image under the new social background through policy design, furthermore, it helps teachers to find their position more clearly than before in a new age and gives revelations for people to analyse the relationship between the target population and policy design in the macro view.

Keyword: teachers' moral image; target population; social construction; policy design;

中国教师道德形象社会建构与政策设计——基于目标群体社会建构与政策设计框架理论

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摘要

目标群体社会建构与政策设计框架理论是 20 世纪西方公共政策领域的主流理之一，该理论认为：针对某一目标群体的政策设计与主流社会对其的正面或负面形象相关，并通过政策设计分配不同群体的利益和负担。本文旨在通过目标群体社会建构及政策设计框架理论，分析中国典型的教师道德形象是如何被社会建构，进而影响政策设计，且通过教师群体在政策设计中的利益和负担分配体现出来，提出通过政策设计引导和塑造新时代背景下的教师人性化道德形象的建议；对教师在新时代背景下的定位有更清晰的认识，对从宏观视角分析目标群体与政策设计之间的关系有着重要启示。

关键词：教师道德形象 目标群体 社会建构 政策设计

1. 引言

近年来，随着社会结构的不断转型和变迁，教师道德形象逐渐被赋予新的时代元素与价值内涵，教师是传承民族精神的文化使者，更是更新人类文明的核心力量。教师群体也在社会发展过程中，不断被社会进行建构，体现于国家政策之中对教师群体的利益和负担分配。那么，**教师群体是怎样被社会建构的？该社会建构是怎样作用于教师政策设计的？反过来，政策设计又是如何塑造教师群体的？**1993 年，美国政治学家 Helen Ingram 和 Anne L. Sehneider 在研究政策与政治关系时，引入社会建构的概念，最终提出了目标群体的社会建构与政策设计分析框架，对目标群体、社会建构与政策之间的联系进行了探索。

梳理中国国内学术界关于教师道德形象的研究，从教师类别看，有研究分别研究了小学、中学、高校教师的各自的道德形象，重点突出其面临的专业困境和出路，如：（王飞，2015）；从理论视角看，有研究教师职业道德价值取向从奉献主义到生命本位的变化，有从中西文化比较视角分析教师道德形象和地位的异同，有从媒体视角论述教师道德的媒体形象的影响，深究其原因与对策，有基于扎根理论，研究当代教师的专业品质，如：（尹慧，2012）、（阮成武等，2009）、（班建武，2007）、（徐海霞，2017）；从研究内容看，有讨论教师道德形象的变迁和原因，有从教师内化动力透析教师道德内化在当代存在的问题既原因，有探索道德权威随着时代发展出现的变迁和重建等，如：（白雪，2017）、（李琰，2014）、（刘丙元，2006）。教师道德形象及其在政策中的利益分配影响着现代教师的定位，于教师发展乃至整个社会至关重要，但从当前研究看，该视角仍是空白状态，本文基于此现状而作。

2. 目标群体的社会建构与政策设计框架理论

2.1 理论背景与发展

目标群体社会建构与政策设计框架理论影响十分深远，但国内学者对其研究并不多。20 世纪 80 年代早期，政策理论家的研究路径开始转向整合影响公共政策设计的因素、选择、执行和评估等可变因素，到 80 年代后期，目标群体社会建构的概念被提出。通过发表《目标群体的社会建构：对政治及政策的影响》，1993 年 6 月，美国亚利桑那州立大学教授 Anne L. Schneider 与亚利桑那大学教授 Helen Ingram 正式提出了目标群体的社会建构理论。该理论自提出以来，受到广大学者如 Liberman 与 DeLeon 的关注与批评，引起大范围的讨论，Schneider 与 Ingram 在回应过程中，对理论进行了不断完善，最终发展成为目标群体的社会建构与政策设计框架理论。

目标群体社会建构与政策设计框架以建构主义为基础，通过论述随着时代变化而变化的政策和不同群体的地位、形象，探究政策设计、目标群体社会建构与政治参与之间的关系。该理论自提出以来在国际政策领域应用很广，如：教育、移民、福利和健康等方面，但国内研究目前处于理论引入介绍阶段。该框架认为：针对某一目标群体的政策设计与主流社会对其的正面或负面形象相关，通过政策设计为不同群体分配不同的利益和负担，以影响公民的政治态度和公众参与政治的程度。本文聚焦于教师群体典型道德形象的社会建构、变迁及对其与政策设计之间的互动和影响。

2.2 理论内容

  Schneider 与 Ingram 非常重视政策目标群体的选择。公共政策为不同群体分配资源或价值，目标群体是政策设计中承担这些分配的群体，一旦确定将被配以相应的政策工具、执行机构等。目标群体作为政策的受惠者，在实施过程中对其资格审查严格。在政策设计过程中，会根据不同目标群体建构出不同的政策目标或问题。"目标群体的社会建构是一种刻板印象，是政治、文化、社会、历史、媒体、文学或宗教通过象征性的语言、隐喻或故事赋予某些群体以特定的形象。它既包括使某一群体区别于其他群体的社会学特征，也包括社会共同体对于这些特征的价值观属性的认知。"（朱亚鹏、李斯旸，2017）

  政策设计是西方政策研究中的一个重要领域，它将公共政策视为政府实现特定目标或意图的手段，进而考察政策的内容特征与构成要素，以及政策内容或观念形成的过程（张海柱，2017）。将社会建构理论引入政策设计的研究，Schneider 与 Ingram 认为不同目标群体的社会建构不同，导致不同目标群体在政策结果上待遇不同，即：目标群体的社会形象（正面/负面）、身份资格（应得/不应得），是由制度规则、政治权力、公众舆论或政策本身在一定的社会情境下，进行建构的结果。

  Schneider 与 Ingram 认为：差异化的政策设计得到民众的认可是因为该目标群体的社会形象和身份资格来源于主流社会对其的认知和评判。该理论根据目标群体的政治影响力强弱和主流社会对其形象认知的不同，将目标群体分为四种类型：优势者、竞食者、依赖者、偏离者，其利益和负担分配如表 1 所示。当然，目标群体的社会建构不是固定不变的，随着社会变迁，有的社会建构发生了变化，而有的社会建构则被不断固化。

表 1 社会建构与利益和负担分配（朱亚鹏、李斯旸，2017）

目标群体类型	利益与负担分配
优势者	过多的利益,过少的负担
竞食者	隐形、大量的利益,明显、少量的负担
依赖者	象征性的利益,隐形的负担
偏离者	极少的利益,极多的负担

  该理论认为：在政策设计中，不同目标群体分配所得的利益和负担不同。其中，优势者的政治影响力较强，其社会形象正面积极，公众认为优势者有资格享有政策福利，因此实际上其享有极大的社会福利和接近于零的社会负担，甚至在政策目标与优势者的利益分配缺乏逻辑关联时，他们仍常常从中获得利益。竞食者掌握着社会大多数的资源，其政治影响力较强，往往在政策设计中分得较多的实质性利益，但是因其负面的社会声誉（如：自私贪婪、唯利是图），公众认为其不具备获得社会福利的资格，因此这些利益隐藏在不易被公众察觉的繁琐规则之下；此外，对其分配社会负担时往往虚有其表，在实际操作过程中，对其不利的政策往往很难实施或执行力弹性空间大，执行力度与公众关注度密切相关，具体表现为：政策执行机构在公众关注度小时执行力度放松，公众关注度高时执行力度紧缩。依赖者的社会声誉正面积极，公众认

为其具备获得政策福利的资格，但是其较低的能力或缺乏机会，其所得的政策福利缺少保障，在遇到因社会问题而经费遭到削减时，通常首当其冲。偏离者因政治影响力弱无法影响政策设计，且因其负面消极的社会形象被公众认为不具备享有政策红利，甚至被认为是导致社会经济出现问题的祸首，因此政策对他们的分配几乎都是惩罚性的社会负担和极少的利益，且公众对此情况毫无异议。

3. 教师道德形象的社会建构与教师政策设计之间关系

教师推动着文明进步，是社会和教育的发言人。教师形象体现了某种社会情境下的教师地位，同时折射出该时代教育的价值和功能，反映了当前社会的价值取向。通过梳理教师形象的社会建构及变迁，我们可以管窥社会和教育的发展程度及历程。

陈彬认为：教师形象是指在一定的社会文化背景下，作为教师角色的个人和社会群体的个性特质及其行为方式的表征，社会公众在这些表征的基础上对教师角色的期待与评价，从而形成的较为稳定的、概括性的总体印象（陈彬，2009）。 柴玉认为："教师道德形象指的是教师在道德方面给公众呈现出的整体印象。道德形象是一种内在形象，但是往往会通过教师的行为外显出来，从而树立起教师道德形象（柴玉，2017）。教师道德形象的变迁体现了社会的变迁，受社会发展过程中，各种变化着的因素的影响，这些影响在综合反应在公众对教师群体的功能期望和要求上。本文重在分析教师道德形象的社会建构及其对政策设计的影响。

通过整理中国教师道德形象相关的历史文献、学者著作、政策文件等，笔者发现随着社会经济、政治和文化的巨大变迁，社会对教师群体的道德形象评价发生了变化，其中，最典型的中国教师道德形象是圣人化、妖魔化和人性化。三者之间既呈现出对历史的传承，又呈现出时代的呼吁。

3.1 教师圣人化道德形象与政策设计之间关系

3.1.1 教师圣人化道德形象的社会建构

尊师重教是中国的悠久传统，自古就有"天、地、君、亲、师"的说法，可见教师地位的尊崇。"圣人"源自儒家文化理念，意指品德高尚之人。孔子被认为是天下楷模、万世之师的代表，也奠定了教师的"圣人化"道德形象。教师的圣人化形象使传统教师形象充满了德性的光辉，奠定了整个中国传统文化中教师形象的基调，成为中国传统文化的精髓。

儒学提倡淡泊名利，塑造了中国传统教师清廉守节、无私奉献、安贫乐道的道德品质。儒家推崇重义轻利，甚至是舍生取义，教书育人，在儒家文化中被视为神圣的事业，"得天下英才而教育之"被孟子视为人生的三乐之一，"忧道不忧贫"成为教师需要遵循的典范。

随着时代发展，教师的圣人化形象在历史长河的沉淀中不断固化，社会对教师道德形象的期待不断拔高，世人普遍认为教师是社会道德的楷模，为人处事的表率，公众期待着如"园丁""蜡烛""春蚕""人梯"等崇高、典型的教师形象，诠释了教师只讲奉献、不讲回报的精神。教师的圣人化道德形象"已经演变为一种社会事实，成为公众心中的一种集体意识并支配着人们对教师形象的认识和评价。而现代媒体对这一社会事实的极力阐发、渲染和倡导，则无疑强化了公众的认识，并使教师圣人化的道德形象凝固化、类型化、标准化，成为了评价教师道德状况的重要

甚至是惟一的参照坐标和价值准则。"（班建武，2010）

3.1.2 教师圣人化道德形象与政策设计之间关系

　　圣人化教师道德形象的社会建构影响了中国的教师政策设计，最突出表现在与教师师德及教师待遇的相关政策方面。一方面，教师的圣人化道德形象体现了我国对教师道德的高标准严要求，在 2018 年出台的《关于全面深化新时代教师队伍建设改革的意见》指出："面对新方位、新征程、新使命，教师队伍建设还不能完全适应，......有的教师素质能力难以适应新时代人才培养需要，思想政治素质和师德水平需要提升"，明确提出要全面加强师德师风建设，实施师德师风建设工程，将提高教师职业道德水平和思想政治素质摆在首要位置，形成教师良好的知识、道德、能力等形象是教师队伍建设的迫切需要。

　　另一方面，在利益分配上，教师的圣人化道德形象往往被塑造成精神上的追求高于一切，甘于清贫，不在乎个人利益，无私奉献。"教师丰富的道德生活被窄化为一种无我的纯粹奉献，以至于教师个人的其他一切生活都变得渺小和无意义。"（班建武，2010） 基于"官师一体"的文化传统和儒学"学而优则仕"思想的深入影响，古代教师备受推崇，社会地位较高，其综合收入普遍处于社会中等水平。随着新中国的建立，相较于与国家综合实力攸关的科学家、与大众民生息息相关的医生等群体，教师看似社会地位较高，但其工资现状是：虽然总体上教师的工资收入呈增长趋势，但教师行业总体工资收入仍处于较低水平。早在 2010-2013 年间，据《中国统计年鉴》数据显示，在 19 个国民经济行业的工资水平排序中，教师居于中后位置，紧随其后的是知识含量相对较低的农林牧渔、制造、建筑等行业（庞丽娟，2017）。根据 2015 年的高校毕业生就业调查，发现教育行业的初任起薪在 19 个行业中处于中下水平的第 13 位（岳昌君，2016）。由此可见，教师的圣人化道德形象在"官师一体"的古代反而有经济保障，在建国之后，其圣人化道德诉求被过于推崇，反而忽略了教师应有的合法权益。

3.2 教师妖魔化道德形象与政策设计之间关系

3.2.1 教师妖魔化道德形象的社会建构

　　随着政治思想运动和中国社会的发展变迁，教师的社会地位、福利待遇和社会期待等也随之发生变化，教师道德形象的某些面向突出显化成为其典型形象。教师被认为是"人之楷模，社会之示范"，世人对其无私奉献精神给予高度颂扬，这种对教师道德楷模的过于推崇，看似给予崇高的荣誉，但对师德楷模来说是一种"捧杀"，实则在一定程度上剥夺了他们的某些正当权利，如：经济收入、福利待遇等。郑富兴教授认为：关于教师道德的评价存在的两个矛盾现象之一就是教师社会声誉下降与教师呼吁道德减负并存（郑富兴，2014）。社会对教师道德楷模圣贤化的形象在出现师德败坏的情况时，正如（班建武，2007）所言，教师妖魔化的道德形象形成。

　　随着互联网的发展，媒体成为影响公众思想和生活的主要渠道之一，影响着世人逐渐改变对教师的固有道德印象。教师的道德形象逐渐从圣坛走向庸俗可憎，如 2008 年四川地震中的"范跑跑"事件，2012 年青海教师的耳光事件，2013 年河南一老师的教鞭破头事件，2017 年西安交大在读博士溺亡事件，2018 年沈阳"禽兽教授"事件，更有有偿补课、学术不端等，每一次教师失德事件的曝光，都牵动着社会的敏感神经。社会舆论纷纷指责教师师德失范行为，如：暴力、收礼、越界行为等，有违教师"为人师表"的形象。随着媒体中教师道德形象负面报道的增加，其

形象呈现被妖魔化的趋势（班建武，2007）。 一些教师失德的负面案例只是个别问题，不能代表教师整体素质，但经过互联网的放大发酵，容易对公众产生以偏概全的误导，导致社会舆论对整个教师群体道德形象的质疑声讨尘嚣直上。

3.2.2 教师妖魔化道德形象与政策设计之间关系

"每一种被公开的偏离利他主义规范的行为都会损害整个专门职业共同体的公众威信。它可能会导致对某一专门职业共同体中越轨行为的实际程度产生广泛性误解。"（罗伯特·K 默顿，2001）中国教师群体的道德形象被公众和媒体捧上神坛位置，教师的其他正当利益需求在某种程度上被忽视，因此，过高的社会期望与过低的经济收入成为矛盾，教师妖魔化现象不断增加。

教师的妖魔化道德形象影响教师师德相关政策的内容。社会对教师圣人化形象的固化，导致其对教师群体过高的道德期盼，而部分教师的道德失范行为，引起整个社会对教师群体道德素质的质疑和对教师师德失范行为的讨伐。由于教师妖魔化形象不断扩大的负面社会影响，政府不断出台政策加强师德建设。《中小学教师职业道德规范》（简称《规范》）自颁布后，经过多次修改，关于师德，"爱"和"责任"是永不褪色的主题，要求教师秉持着教书育人的初心和责任感，对教育教学事业充满热情，关心、爱护每一位学生。

《规范》的多次修订体现了教师道德形象对时代变化的新要求。1984 年，《中小学教师职业道德标准（试行）》作为改革开放后我国最早颁布成文的中小学教师职业道德规范性文件出台，经过 7 年的实验，1991 年正式施行。1997 年，为加强教师队伍建设，《中小学教师职业道德规范》修订版出台，内容涉及"依法执教、爱岗敬业、热爱学生、严谨治学、团结协作、尊重家长、廉洁从教、为人师表"八个方面。2008 年，为进一步加强教师队伍建设，全面提高中小学教师队伍的师德素质和专业水平，新修订的《规范》内容涉及六个方面："爱国守法、爱岗敬业、关爱学生、教书育人、为人师表、终身学习"。相较而言，新《规范》强调教师要以身立教，学生的安全问题受到高度重视，"教书育人"成为新时期师德规范的灵魂，具体细则如："保护学生安全……不以分数作为评价学生的唯一标准……自觉抵制有偿家教"等。

3.3 教师人性化道德形象与政策设计之间关系

3.3.1 教师人性化教师道德形象的社会建构

随着素质教育提出，主体教育实验展开，基础教育课程改革的实施及国外教育思潮的介绍引进，公众开始对传统的教师形象进行反思和重构。受儒家思想熏陶和浸润，我国教师的圣人化道德形象深入人心，公众过高的期待导致教师妖魔化道德形象凸显成为典型。"新时期以来，人们才开始认识到传统的教师道德形象过于伦理化、理想化、一元化，并从教师自身利益立场和专业化角度进行反思与调整，注重对教师的人文关怀，重塑教师道德形象"（阮成武、魏迪，2009）， 教师的人性化道德形象正成为教师道德形象的典型。

面对社会对教师"道德绑架"的现状，教师群体发出"老师也是人"的感叹，也有学者秉持"教师不是道德家"的观点，认为公众对教师的道德要求太高。教师是一个特殊的职业，一方面如医生、工人、建筑师一样，承担着育人、传承文化的职责，这就要求教师必须有道德；另一方面，教师也是一个普通人，有着七情六欲，不应该把教师当成是道德的化身，而社会给了教师过多的要求和约束。社会将对教师高标准的个人道德要求与普遍的职业道德要求混为一谈，教师被

迫带上重重的道德枷锁。对此，有人明确提出将教师的个人道德与职业道德区分开来，把师德明确限定在职业的边界内，主张"教师的职业道德向专业伦理的转换"、"按专业标准重建师德规范"（檀传宝，2005）。卢旭通过分析《人民教育》杂志上 1984 至 2003 年间的 180 名教师后发现：整体教师形象从强调教师个人品德逐步转向教师的职业活动及成就（卢旭，2006）。此外，教师的劳动不再如从前，被认为是理所当然，教师的福利待遇引起国家和社会的重视，不断得到更好的保障。教师人性化道德形象是教师适应现代社会的道德场域及多元价值关系的重要选择。

3.3.2 教师人性化道德形象与政策之间关系

当固守传统教师道德形象无法跟随社会发展的脚步时，社会对教师道德形象的建构开始走向理性，走向将教师当作人，当作一种特殊的职业来对待时，教师的道德形象走向人性化，这既是时代的选择，也是教师自身面对现实所做的选择。

一方面，随着媒体曝光的各种教师师德的失范行为，社会对教师群体的谴责尘嚣直上，教师道德形象因此妖魔化的现状，国家出台政策强调教师师德的重要性，规范教师师德行为。第一，通过对 2010 年《国家中长期教育改革和发展规划纲要(2010-2020)》做词频分析发现，提到"教师"125 次，内容涉及教师的职责、地位、权益、素质、发展、管理、评价等，强调教师行为规范，将教师师德作为考核、聘任（聘用）和评价的重点（阮成武，2011）。第二，2018 年 11 月修订后的《中小学教师违反职业道德行为处理办法》中第四条明确规定了应予以处理的教师违反职业道德行为，如："（五）歧视、侮辱学生，虐待、伤害学生。（六）在教育教学活动中遇突发事件、面临危险时，不顾学生安危，擅离职守，自行逃离。（七）与学生发生不正当关系，有任何形式的猥亵、性骚扰行为"。由此可见，国家对教师道德失范行为的规范越来越明确，既明确了教师的道德行为要求，又规范了教师的职业道德行为，促进教师师德的良性发展。

另一方面，政府在关注教师师德规范的同时，重视对教师的经济保障。孙殿君等在分析 409 份有效问卷后发现：教师心理福利的影响因素中，物质待遇与发展潜力所占比重相差无几，其影响力远远超过其他因素（孙殿君、李红花，2014）。2018 年出台的《关于全面深化新时代教师队伍建设改革的意见》，在完善中小学教师待遇保障时，明确提出："健全中小学教师工资长效联动机制，核定绩效工资总量时统筹考虑当地公务员实际收入水平，确保中小学教师平均工资收入水平不低于或高于当地公务员平均工资收入水平。"强调教师福利，重点发展教师工作，意在为促进教师队伍建设提供保障。国家政策一方面对教师道德进行引导和规范，另一方面通过为教师提供经济保障维护教师的合理利益，这有助于教师人性化形象的构建。

3.4 教师的道德形象与政策设计之间关系

根据目标群体的社会建构与政策设计框架理论，教师道德形象的社会建构，体现了教师的应得资格和社会对教师的评价形象（积极/消极），其对相关教师政策的设计和利益分配息息相关。由上文可知，在历史长河中，教师的道德形象塑造了圣人化、妖魔化、人性化三个典型形象，既有受历史文化影响的痕迹，亦烙上了时代的印记，三者以社会对教师道德的期望为核心，既可以说是一脉相承，暗含时间发展线，但并不是非此即彼的替代关系，而时有并存现象。当社会公众对教师道德期望或评价形象的某种思想成为当时社会对教师群体道德评价的主流价值

观时，成为当时时代的最显著特征，即意味着教师道德典型形象产生。

社会对教师群体道德的高要求虽是自古以来就没有降低过，但公众对教师道德的期待也有着时代印记的变化。首先，公众对教师群体的道德形象几乎是膜拜的，神话的圣人化形象，就如不食人间烟火的神仙，民众对其尊敬至极、推崇备至。在这种高标准的道德要求之下，公众容不得教师群体有一点道德方面的瑕疵，教师群体稍有不慎即会被扣上"道德败坏""师德沦丧""禽兽老师"等帽子，教师"妖魔化"道德形象于是产生。当然，"妖魔化"形象的产生除了个别教师确实道德素质堪忧以外，还有别的因素，如：教师所得利益极低，只能维持其基本生活，但人人都希望过更好的生活，追求更高的价值和更好的生活品质，这是人之本性无关职业，可是有的教师取财无道，或取之有道但被网络恶意造谣且不断扩大，对教师群体的负面评价也越来越多。面临这种现状，越来越多专家和学者寻求教师道德要求和其利益所得的平衡之道，"人性化"概念随之提出。社会对教师的道德期望从神坛走向人间，在一个合理的范围内，不过分拔高，也不降低要求，同时，为教师群体提供物质生活保障，刺激教师群体的内部积极性，建立长效的可持续教师发展之道。

从古至今，根据教师群体的身份地位和利益负担分配，可以看出：中国教师群体一直都属于"依赖者"群体，在政策设计中获得的是象征性的利益和隐形的负担。教师的社会地位较高，公众对其的评价也多是积极正面的。从国家政策设计及教师群体所得的利益和负担分配来看，教师群体由于"文人风骨""知识分子骄矜身份"，由于社会对教师群体"甘于清贫、不慕名利"的高度推崇，导致了两个现象的产生：一是教师群体羞于提及自身待遇，怕别人误会自己知识分子的高洁品性，导致大多数教师的"劳动"和"所得"不匹配的现象比比皆是；二是国家政策设计时一方面对教师道德的要求是维持自古以来从未改变的高标准、严要求，强调教师要注重自身道德素质的提高；另一方面在度教师的利益和负担分配时，忽略了教师群体的实际利益需求，如：教师的工资待遇、福利水平等，一旦遇到战争、关乎国家经济等事情时，最先被削减的也是教师群体的利益。

4. 结语

育有德之人，需有德之师。教师作为促进社会发展、科技进步、国家富强的重要推手，其重要性不言而喻。社会文化影响教师群体的道德形象建构进而影响教师群体的行为，教师群体的社会建构影响国家政策的出台，教师政策的出台又反过来影响教师群体的行为。根据目标群体社会建构与政策设计框架理论，为促进教师的良性可持续发展，提出以下建议：

基于目标群体社会建构与政策设计框架理论，可以看出教师群体的道德形象和身份资格的社会建构可以影响教师相关政策设计，特别是与教师道德和教师待遇福利相关的政策尤为明显。因此，一方面对于社会中建构的教师群体道德形象，政府应重视社会力量对教师道德形象的建构，关注教师道德的社会主流价值观，顺应公众呼吁和时代潮流，对教师行为进行监督和引导，修改或调整教师群体的道德形象建构。当前，人性化道德形象成为新时代社会公众对教师道德的期盼，推动政府出台相关政策可以引导教师群体的行为，为当代教师的可持续发展提供稳定、和谐的大环境。另一方面，通过政策设计引导目标群体行为的视角可以看出，不管教师群体的道德形象当前是什么，或许过于圣人化，或许过于妖魔化，政府可以通过出台政策引导教师群

体行为，构建理想的教师道德形象。

　　总而言之，社会文化影响教师群体的行为，进而建构出教师群体的形象，在中国，教师道德形象经历了圣人化、妖魔化的变迁，如今，现代教师的人性化形象亦为社会所建构，其影响教师师德政策的出台，又受国家政策所引导和社会的监督。了解目标群体社会建构与政策设计框架理论，有利于营造良好教师道德形象的社会氛围，促进构建教师人性化道德形象，激发有志之士从事教师职业，投身于教育事业，在教育实践中重塑教师应有的良好德性。

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Blending Teaching Analysis in DPU
-- Take the Course of <Business Mathematics and Statistics > as Example

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Abstract

Blending teaching, or "Internet + education", is the main teaching mode. However, according to the teaching content and teaching evaluation, it should be fully considered on the teaching resources, curriculum types, student qualities, and learning evaluation, etc. Based on the questionnaire survey and the author's practical teaching experiences, this article analyzes the existing problems, and also puts forward suggestions for the curriculum assessment and evaluation methods for this course, so as to promote the more scientific implementation of this course in teaching reform.

Keywords: blended teaching; traditional classroom teaching; high school foundation; teaching evaluation

泰国博仁大学混合式教学问题探究——以《商务数学与统计》课程为例

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摘要

当今的教学模式，必然趋势是"互联网+教育"的混合式教学模式。但在其教学内容、教学评价上，应充分考虑到学校的教学资源、课程类型、学生素质，学习评价等现实状况，并进行相应的调整改进。本文通过问卷调查法，结合笔者的实际课堂教学效果，分析其中存在的问题，重点对本课程的课程考核评估方式提出建议，以促使本门课程更科学地实施教学改革，同时也希望能对其他课程的改革，提供相关的借鉴经验。

关键词：混合式教学；传统课堂教学；高中基础；教学评价

混合式教学（Blending-Learning teaching）是传统课堂教学（Face to Face teaching）与在线教学（E-Learning teaching）优势互补的一种现代教学模式。当前所谓的在线教学，实质上就是一种混合式教学。混合式教学可以充分发挥教师和学生的自主性，更能充分体现学生作为学习过程主体的主动性、积极性与创造性。在当下"互联网+"的背景下，"互联网+教育"混合式教学呈

现出井喷式的发展。混合式教学通过将课堂时间向课外延伸，在很大程度上是"以学生为中心"，将知识传授和深度探究翻转过来，有助于实现知识传授、能力培养、学习价值塑造"三位一体"的教育实践。

1. 文献综述

通过相关的文献梳理，我们可以清楚地看到混合式教学的发展脉络，从理论和实践两方面来分析其发展及其应用。

美国发展训练协会（ASTD）的 Singh 和 Reed 将混合式学习定义为应用"合适（Right）"的学习技术，配合"好的（Right）"个人学习风格，在"适当（Right）"的时间转换成"正确的（Right）"技能给"适合的（Right）"人，从而完成最佳的学习目标，即 5R 定义。

布鲁姆将认知过程的维度分为六个层次：记忆、理解、应用、分析、评价和创造。传统课堂教学过程中，教师的大部分教学时间仍然停留在如何帮助学生实现对知识的记忆、复述或是简单描述，即浅层学习活动。混合式教学的目的就是将教学内容逐步引向深入，促使学生进入深度学习状态。（参见图一）

图一 布鲁姆认知过程维度模型
（信息参考：[美] B.S.布卢姆 (1986)《教育目标分类学：认知领域》；
[美] 洛林·W•安德森 (2009)《布卢姆教育目标分类学修订版》）

最早于 2012 年，美国的顶尖大学陆续设立网络学习平台，斯坦福大学创立的 Udacity 和 Coursera，以及哈佛大学联合麻省理工学院启动的 Edx，这三大课程提供商提供免费的高等教育，并且有一套自己的学习和管理系统。各层次的教育纷纷从单纯的 E-learning（在线教学），发展到大型开放式网络课程，即 MOOC（massive open online courses，大型公开在线课程）。截止 2020 年 2 月，中国大陆已有 581 所大学，共同合作创办了慕课（MOOC）网站，提供大学公开课，同时还有网易公开课（163）等。

MOOC 的优质教育资源和学习过程为学习者带来了全新的学习体验，但因呈现方式单调、针对性指导缺失、在线参与度不足、不能满足个性化学习需求等导致学习者难以进入深度学习状态。2013 年，加州大学伯克分校的阿曼德•福克斯教授最早提出和使用 SPOC，全称为 Small Private Online Course，即小规模限制性在线课程的缩写。张晓娟（2018）认为，随着人工智能对深度学习的要求，把 SPOC 当作是一个实现深度教学的支持平台，基于 SPOC 的深度教学，借助学习情境的创建和多样化的角色体验，可以帮助学生建构自己的"个体知识"。

随着人工智能的不断发展，交互式学习在逐步深入，田阳等（2019）提出多模态交互的混合式学习概念，通过师生交互、生机交互、师机交互和生生交互，通过多模式来促进学生的学习，并使学习达到优化。黄荣怀（2019）提出人工智能将在教育中发挥巨大优势，未来的学习将"实现管理进程自动化，优化教育效果，促进教育发展"。

冯晓英等（2018）通过相关研究梳理出，混合式教学概念大致经历了三个阶段，即技术应用阶段（在线与面授的结合）、技术整合阶段（明确在线的比例）和"互联网+"阶段（移动技术、在线、面授的结合）。

随着混合教学模式的深入发展，一系列的支持混合课堂教学的 APP 应用软件也应运而生，中国比较有代表性的在线学习软件分别为 QQ 在线直播、钉钉、"雨课堂"和"微助教"等等，而在国外运用比较广泛的教学软件有 blackboard，myCourseVille 等等。

通过梳理各位学者的理论研究，笔者认为图二能够很好地表达混合式教学的精髓，并认为教师对混合式教学的全程监控和综合评价，才是混合式教学取得成功的关键。
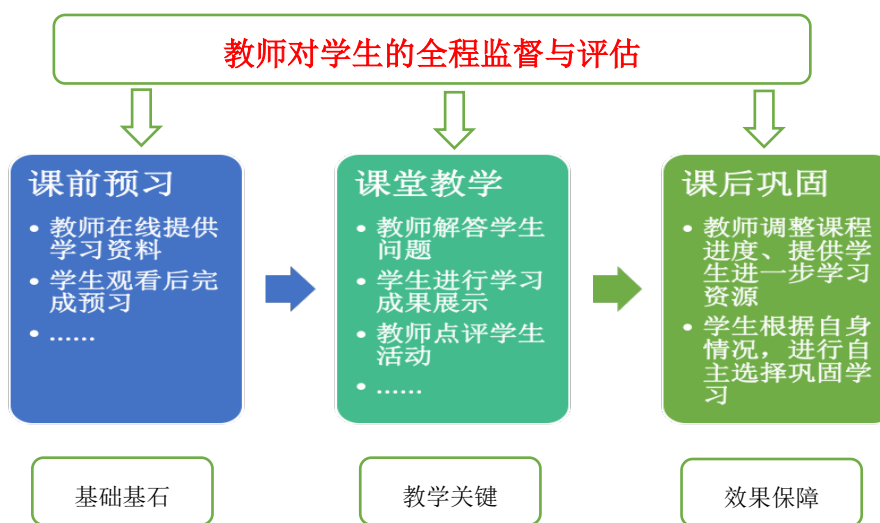
图二　混合式教学实施效果流程图

2. 博仁大学混合教学模式应用分析

在混合式教学背景之下，泰国博仁大学提出 NEW BUSINESS DNA（即新商业 DNA）理念，并提倡 Outcome-Based，Active & Blended Learning（即以结果为导向，积极主动的混合型学习理念），在博仁大学本部试推行了一年左右的时间。其间取得了积极的教学效果，博仁大学决定进一步地全校推广这项教学实践，博仁大学的中文国际学院也于 2019 学年第二学期，推出对部分

课程逐步引入此项教学实践，包括 DPU CORE（博仁大学核心基础课程），CAPSTONE [1] 相应的课程，部分老师也使用了相关的在线教学软件，包括使用微助教，QQ 在线视频教学等，教学方式逐步向混合式教学模式转变。

笔者将《商务数学与统计》这门课程，每节课都设置好的一个相关主题，通过 45 个小时（每次 3 个小时）的教学，其中还包括两次 E-learning（共 6 小时），运用混合式教学方法，首先让学生在课下自觉进行的相关知识的预学习，课堂上安排合理时间为学生答疑，以解答自学过程中遇到的疑惑和难点为主，鼓励学生培养独立学习、找到问题，提出问题的学习方法，优先解决他们在自学材料过程中所遇到的问题。在课堂上全方位考察学生对本门课程基本知识和基本原理的掌握情况，并应用 Microsoft Excel（微软电子表格）等办公自动化工具进行实例统计分析，同时老师及时对学生学习小组活动及个人活动进行反馈和评分。

按照博仁大学 CIBA（创新商务与财会学院）学院的要求，其中一个班级的学生在学期末，与《东南亚联盟》课程共同制作一份小组汇报的海报，主题为东南亚地区的旅游景点介绍。海报需要充分运用数学课上学到的统计分析工具，老师通过学生海报展示的质量及效果，评定学生的期末成绩。

此种混合学习方式，既能使学生学习本门课程的基础理论知识，又能使学生学以致用，并能与其他课程相结合，从本质上来看的确是一份良好的课程设计。

从学生角度来看，那些学习主动性较强，能很快融入混合式学习的学生，及学习习惯比较好的学生，将很快适应此种教学模式。学生普遍喜欢动手操作比较多的课程，其更能发挥学生的主观能动性；同时，对于热衷动手实践，操作能力强的泰国学生，他们很喜欢这种授课模式。

从教师的角度来看，教师教学是一个比较大的挑战，因为许多老师刚开始还不太适应这种教学模式，老师需要重新备课，部分年老教师对新的信息技术操作不是特别熟练。但这是一个发展的过程，经过 1 到 2 年左右时间的适应，老师们必然能逐步掌握新的信息技术的使用。
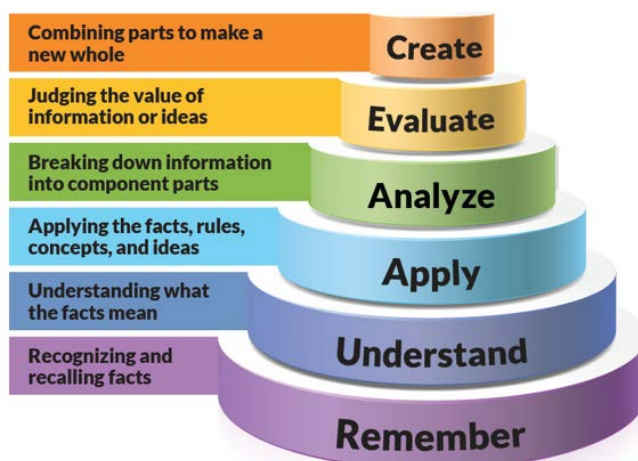
图三 博仁大学 ACTIVE LEARNING 教师培训指导用图

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[1] CAPSTONE，中文顶点课程，是美国高校开设的一种让学生整合、拓展、批判和应用在学科领域的学习中所获得的知识、技能和态度等的课程；顶点课程具有发展学生综合素质和帮助学生从学校向职场过渡的功能，因而在美国的高等职业和技术教育中得到较广泛的应用。

从教学实践来看，既取得了积极的效果，但同时又存在一些亟待解决的问题。通过笔者的教学实践，认为当前博仁大学的混合教学模式是否能顺利、有效地推行，有以下五点是必须重点留意的：

学习是学习者（即学生）主动参与的过程，学生的学习动机、热情及其学习的坚持度，是学习取得成效的关键；

学习是一个循序渐进的积累过程，如果没有积累，学习将成为狗熊掰棒子，捡一个丢一个，一直在原地踏步，将学不到高级阶段的知识；

学习习惯的养成是一个长期的过程，不是一蹴而就的。学习习惯好的学生和学习习惯不好的学生，混合式教学取得的效果将大不相同；

不同类型课程的学习，其过程和条件是不同的，偏数理的课程如数学，会计，投资与金融等课程，学生本身需要进行大量的思考、计算和练习，不实际动手操作，无法取得良好的学习效果；而对于偏文科方面的课程，更多的需要学生要丰富扎实的基础知识，以及良好的思维整合能力。

教学资源及教师教学是学生学习的外部条件，良好的外部条件可以影响学生的学习状况。
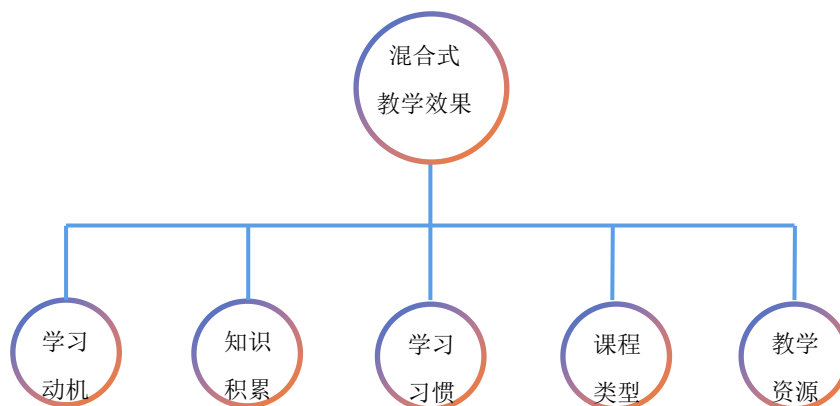
图四 混合式教学的教学效果示意图

3. 《商务数学与统计混合式教学》问卷调查重点结论归纳

为了探讨本门课程应该如何恰当地使用混合式教学，对所教授的三个班的学生进行了问卷调查，收回问卷 70 份，剔除掉泰国学生的问卷和回答不完整的问卷，有效问卷 67 份，现将重点结论归纳如下：

第一，学生的数学课程学习的基本情况。

A. 学生的中国高考数学成绩，超过 90 分（满分为 150 分）的人数占比不到 20%（问卷调查的第 6 题；注：下同）；

B. 85%的人觉得中学阶段很困难，其中高中约占 60%，初中约占 25%（第 7 题）；

C. 50%以上的学生认为自己的数学基础不太好（第 8、11 题）；

D. 一半以上的学生希望老师提供高中（占 70%）、大学（占 55%）的学习资料，但仍有 40%的学生希望老师提供入门阶段（40%）和初中阶段（43%）的学习资料；（第 17 题）

第二，学生的数学课程学习习惯。

A. 仅有 22%的学生有主动预习或者复习的学习习惯（第 9 题）；

B. 有 40%的学生认为学习数学困难的原因在于学习习惯（包括预习、课堂听课、复习及作业方面）需要改进（第 11 题）。

第三，学生对传统课堂教学，在线教学以及混合式教学的接受程度。

A. 60%以上的学生偏向于混合式课堂教学模式（第 12 题）；

B. 近一半学生没有使用过或者没有听说过在线教学（第 13 题）；

C. 75%的同学没有用过流行的在线教学或混合式课堂教学的工具（第 14 题）；

D. 在课堂上面教学，有 60%的同学希望老师重点讲解考试部分的内容，希望老师讲解数学基础知识的占到 25%（第 20 题）；

E. 56%的学生认为需要通过自学或者混合式学习的方式，将中学数学基础先补起来，36%的学生认为是否补基础，要看学校或老师的相关规定（第 21 题）。

4. 值得注意的几个深度问题

在对《商务数学与统计学》的混合式教学调查表分析过程中，我们发现了以下几个值得注意的问题：

4.1 博仁大学中国学生的生源质量，及其知识储备

学生生源的质量制约了教师授课的最终效果，从调查问卷的结果来看，有 18%的学生是没有参加中国高考的，算上没有参加高考的学生，不及格率超过了 70%。从客观上反映出，这批中国学生的生源质量堪忧。

大部分学生能够客观地认识到自己数学基础知识的薄弱，其主要问题就是出自中学，特别是高中基础知识不牢固。另外还有一部分学生的大学学习要求就是仅仅拿到一个本科毕业证。这些对于大学而言，都是值得警惕的信号。

大学的学习，需要设置一个前提条件，那就是学生的高中基础知识。当学生的基础知识不足以支撑大学知识之时，学习大学的基础知识就会非常吃力。大学的课程体系，需要通过学生的知识量逐步积累来完成的，以便学生大四毕业，能够凭借自己的专业知识，找到如意的工作（参见图五）。

从教学实际过程中来看，一部分学生的知识量水平并没有达到大学的基本要求，直接导致了该生在上课之时，听不懂老师讲授的课程，对于中学应该掌握的基本知识，基本理论，学生只能回答"不会"，"没学好"或者"中学学过，但是忘了"来回应。如数学中的基本概念，加权平均数、样本方差等计算公式，课堂统计近四分之一的学生没有掌握，或者不会使用其公式及变形公式。学生在中学的数学知识量水平，必须通过相关的混合式教学补充上来，而且需要严格考核。
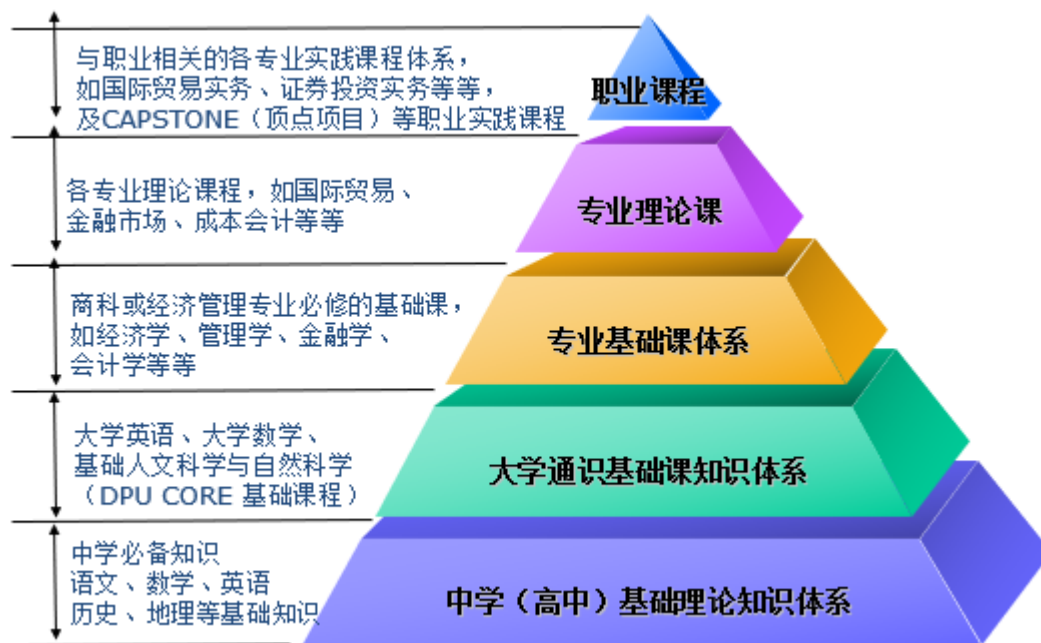
图五 经济管理（或商科）大学生知识体系金字塔

4.2 学生的学习习惯

从调查数据来看，能够主动学习、主动预习的学生比较少，很多学生的学习依赖性很强，仅有 22% 的学生有主动预习或者复习的学习习惯，有 40% 的学生认为学习数学困难的原因在于学习习惯（包括预习、课堂听课、复习及作业方面）需要改进。课堂活动中随机点名，让学生上来回答问题，仅仅是前面课堂讲解过的知识点，都不能够回答上来，问其原因，回家并没有复习。

4.3 从外部教学资源来分析

从博仁大学的网站和博客上面来看，并没有多少涉及到教学的网络资源。对于中国学生，资源就更少了，混合式教学底蕴略显不足。

5. 建议、解决方案

针对以上出现的问题，笔者提出以下建议，希望能逐步改进在《商务数学与统计》混合式教学中所遇到的问题：

第一，增加网络资源的建设。

线上的网络资源是开展混合式教学的前提，学校倡导的混合式教学就是希望把传统的课堂讲授通过微视频上线的形式进行前移，给予学生充分的学习时间，尽可能让每个学生都带着较好的知识基础走进教室，从而充分保障课堂教学的质量。在课堂上我们的讲授部分仅仅针对重点、难点，或者同学们在线学习过程中反馈回来的共性问题。

因此，建议学校或学院购买相关的在线网络平台或在线网络资源，方便教师使用及学生自学。

第二，增加学生基础知识能力的考核。

混合式教学的开展，并不能放松学生的学习，而是使学生的学习更多地从被动学习向主动学习来引导。学生的学习难度，不会亚于传统课堂学习的难度。因此，教师必须通过多种手段来考核学生。

针对本校学生中学基础薄弱的特点，建议将学生的中学基础知识，一并进行考核，在课堂教学中，教师需要严格要求，逐渐扭转学生学习习惯不佳的问题。最后促使学生学习的知识能逐步积累，并达到运用、评估和创造等高级学习阶段。没有扎实的高中基础知识和通识基础知识，任何高级学习，都会成为空中楼阁，最后都会轰然倒塌。
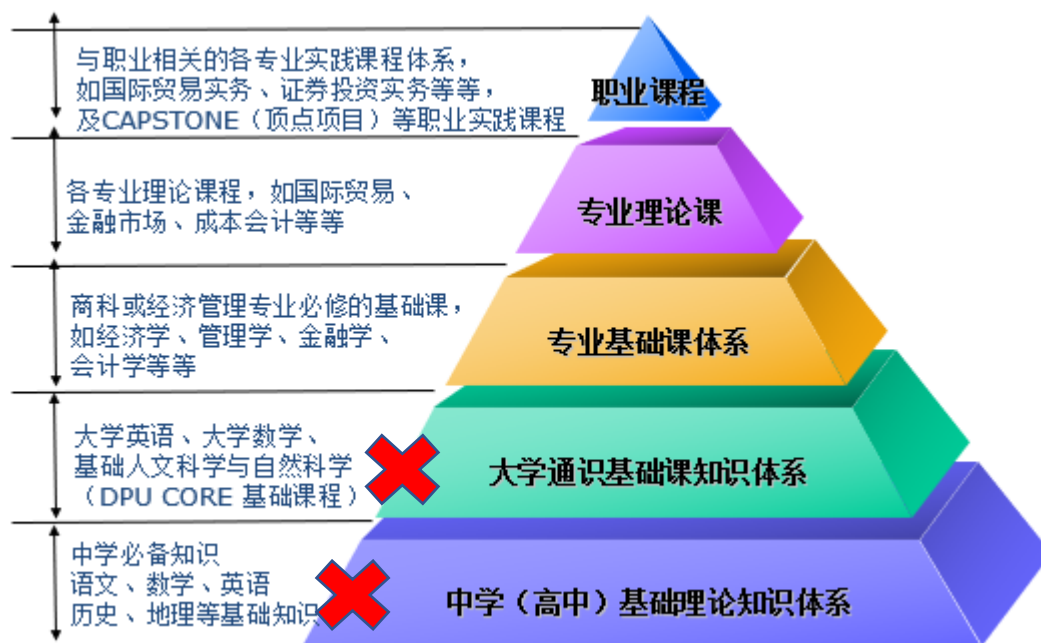
图六 经济管理（或商科）大学生知识体系金字塔的倒塌

第三，逐步改革教学评估中的期末考试形式和毕业考试形式。

教学评估是检验教学质量至关重要的一个环节，不能让学生觉得考核评估就是走形式而已。因此在课堂教学与考试方面的建议：将学生是否进行期末考试的权限下放给一线教师及系主任，由他们决定如何评价与考核学生，包括是否进行小组汇报或者期末考试。

另外，针对学生数学基础薄弱的现实情况，在学生大学一年级第一学期结束时（或者推迟到第二学期末），建议增加一门高中数学（商科方向）综合知识测试考试，以使学生能将在大学阶段用得到的中学知识扎扎实实地掌握下来，为其今后几年的学习和毕业后从事的工作，打下坚实的基础。在大四毕业阶段增加一门本科毕业综合考试，内容涉及本专业大学四年的基本技能知识，并将所学到的数学知识融入到其他课程之中，以体现博仁大学提出的模块化教学的优势。

博仁大学对本科生及研究生的英语水平要求已经走在了其他各门通识课的前面，现有统一的 DPU-TEP（博仁大学本科生英语水平考试）和 DPU-GET（博仁大学研究生英语水平考试）的成绩要求。毕业生毕业，英语必须达到相应的程度。同理，学生的数理能力、逻辑思维能力、计算机应用能力，也应该达到大学相应的程度，才能满足用人单位的需求。因此，建议在不久的将来，我们能看到博仁大学有统一的数学水平考试或者计算机水平考试，为博仁大学的毕业生，

提供坚实的职业技能基础保障。

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附表

《商务数学与统计混合式教学》调查问卷

1. 你所在的学院
   A. CAIC（中国东盟国际学院）
   B. CIBA（创新商务与财会学院）
   C. 其他
2. 你现在就读的年级
   A. 大一新生
   B. 大二学生
   C. 大三学生
   D. 大四即将毕业生
   E. 专升本学生
3. 你就读的专业

    A. 国际商务（工商管理、国际经济与贸易）
    B. 金融与会计
    C. 旅游管理
    D. 艺术设计

4. 在进入博仁大学学习之前，你的学历为
    A. 大学专科以上毕业
    B. 普通高中毕业（参加过中国高考）
    C. 普通高中毕业（没有参加过中国高考）
    D. 职业高中毕业
    E. 中专或技校毕业

5. 你在高中阶段学习的是
    A. 理科
    B. 文科
    C. 高中时不分文理科
    D. 艺术、体育特长生
    E. 其他

6. 你参加高考的数学科目分数段在（注意：若没有参加过高考或高考数学未得分，选"none"；高考试卷满分非 150 分的同学，在"其他"选项中注明，如填写"考了 92 分；试卷满分 120"等）
    A. None
    B. 1-30
    C. 31-60
    D. 61-90
    E. 91-120
    F. 121-150
    G. 其他

7. 你从哪个阶段开始，就认为数学学习存在困难
    A. 小学阶段开始
    B. 初中阶段开始
    C. 高中阶段开始
    D. 大学阶段开始

8. 本人在数学哪些方面比较薄弱一些？（可多选）
    A. 函数部分
    B. 几何部分
    C. 概率统计部分
    D. 基础不太好，都比较薄弱一点
    E. 其他

9. 你有上课前主动预习或复习的学习习惯么
    A. 有
    B. 没有
    C. 不一定，看心情或学习状态
    D. 一般考试前才主动学习或复习
    E. 其他

10. 你会主动去完成老师布置的作业或其他任务么？
    A. 积极主动完成老师布置的任务
    B. 被动完成老师布置的任务
    C. 作业一般在最后几天去完成
    D. 其他同学完成了，自己照写一遍
    E. 其他
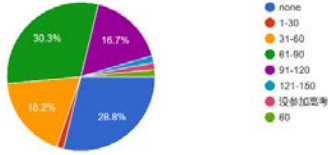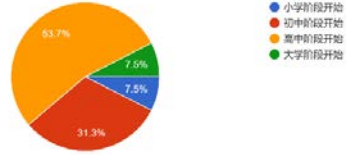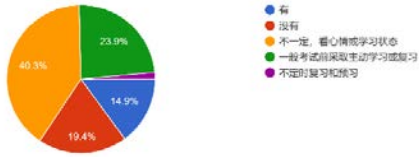
11. 你认为自己数学课程学习存在困难的原因是什么？（可多选）
    A. 数学基础比较薄弱
    B. 心理上比较惧怕数学
    C. 学习习惯需要改进
    D. 遇到难一点的题目，容易放弃
    E. 其他
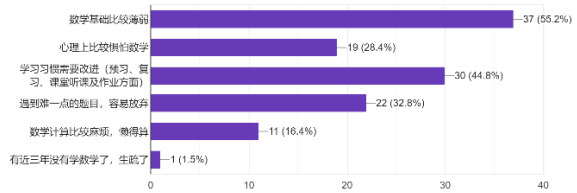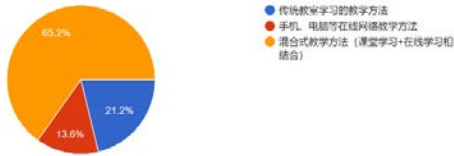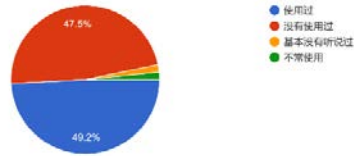
12. 你本人更偏向于以下哪种教学方法？
    A. 传统教室学习的教学方法
    B. 手机、电脑等在线网络教学方法
    C. 混合式教学方法（课堂学习+在线学习相结合）

13. 你是否曾经使用过在线学习课程？
    A. 使用过

    B. 没有使用过
    C. 基本没有听说过
    D. 其他

14. 你是否使用过以下在线学习网站？（可多选）
以下都没有用过
    A. Mooc（慕课）
    B. Spoc（小规模限制性在线课程）
    C. 网易公开课
    D. Khan Academy（可汗学院）
    E. 其他

15. 使用在线教学的学习体验如何？
    A. 效果不错，继续使用
    B. 效果一般，不怎么使用了
    C. 效果不好
    D. 根本就没有使用
    E. 其他

16. 当老师采用混合式教学模式时，你会主动阅读或收看老师布置的课前在线学习资料么？
    A. 会
    B. 不会
    C. 其他

17. 你希望老师学习本门课程之前提供什么样的学习资料？（可多选）
    A. 入门阶段的学习资料
    B. 初中阶段的学习资料
    C. 高中阶段的学习资料
    D. 大学阶段的学习资料

18. 当老师提供的材料，自学有困难时，你一般会怎么做？
    A. 克服困难，主动向周围人或通过网络寻求帮助
    B. 留下疑问，做好笔记，上课时主动问老师解决
    C. 一般自己没有去自学

19. 你自学多长时间效率最高或者效果最好？
    A. 30 分钟左右
    B. 一个小时左右
    C. 90 分钟以上
    D. 将老师布置的任务完成为止
    E. 主要看当时的心情吧
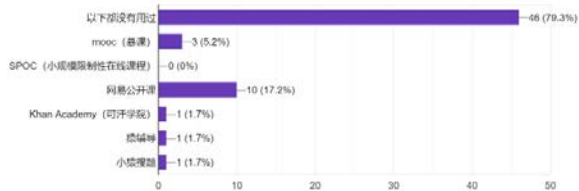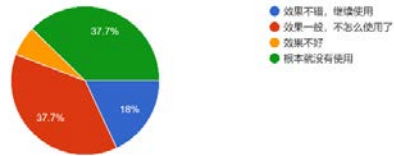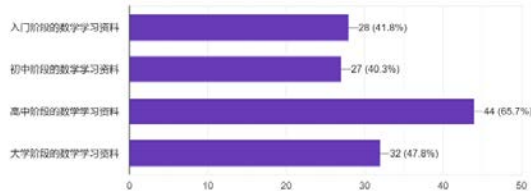
20. 在教室上课之时，你希望老师重点讲授那一部分内容？
    A. 数学基础知识
    B. 仅预习、作业中的重难点知识
    C. 需要期末考试的知识部分

21. 为了学好大学阶段的数学，你是否决定要通过自学或混合学习方式，把中学基础数学给补起来？
    A. 必须的，数学学习基础很重要
    B. 不一定，看学校或老师的规定
    C. 不必了，以后我很少不到数学了
    D. 来这里学习，能拿到毕业证就可以了
    E. 其他

22. 你认为数学课程对于商业或经济管理专业学习的重要程度（用分数来表示，如 5 分表示非常重要，1 分表示非常不重要）
    A. 1 分
    B. 2 分
    C. 3 分
    D. 4 分
    E. 5 分

附图

《商务数学与统计混合式教学》调查问卷数据图（部分重要数据）
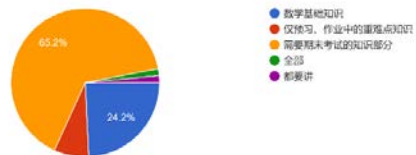
21. 为了学好大学阶段的数学，你是否决定要通过自学或混合学习方式，把中学基础数学给补起来?
（67 条回复）
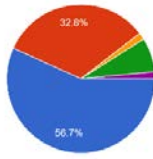
- 必须的，数学学习基础很重要
- 不一定，看学校或老师的规定
- 不必了，以后我很少用不到数学了
- 来这里学习，能拿到毕业证就可以了
- 看情况能多讲点就多讲点呗，踏把以前的学会更好

22.
你认为数学课程对于商业或经济管理专业学习的重要...表示，如5分表示非常重要，1分表示非常不重要）
（67 条回复）
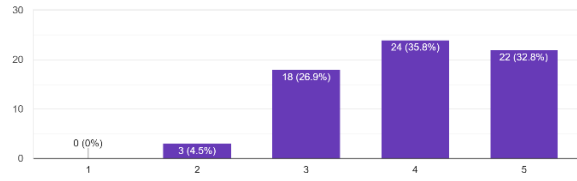
A Preliminary Study on the Correlation between Learning Style and Metacognitive Ability of Taiwan Senior High School Student in Earth Science

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Abstract

The aim of this study is to investigate the correlation between learning styles and metacognitive abilities of high school students in earth sciences, and to analyze the similarities and differences between students of different genders and learning tendencies. This study uses a self-developed Earth Science learning style and metacognitive ability scale. The test subjects in the study adopted "convenient sampling". The test was conducted mainly by high school students in Chiayi, Taiwan. 91 questionnaires were collected. The test results were analyzed by SPSS 25.0 and the results were as follows:

1. In the learning style preferences of the earth sciences, there is no significant difference between different genders, but there is a significant difference between different learning tendencies. Students in the natural group prefer practice, sequence, and autonomy, while students in the social group prefer cooperation.

2. In metacognitive abilities, there is no significant difference between different genders, but there is a significant difference between different learning tendencies. Students in the natural group have higher metacognitive abilities than the social group.

3. In Earth Science learning, metacognitive abilities are significantly positively related to practice, autonomy, and listening, but significantly negatively related to cooperation.

Keyword: Senior High School Student, Earth Science, Learning Style, Metacognitive Ability

台灣高中學生地球科學學習風格與後設認知能力相關性之初探研究

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摘要

本研究目的為調查研究台灣高中學生在地球科學上學習風格與後設認知能力之相關性，並分析不同性別與學習傾向之學生的異同處。本研究使用自行研發的地球科學學習風格與後設認知能力量表，在學習風格部分採用 Bloom 認知歷程與 Renzulli 教學偏好構念組成，可了解學生在不同認知歷程的地科知識內容上所偏好的學習風格。在後設認知上採用文獻歸納所得的後設認知構念，包含目標設定、自我監控、自我評鑑、自我修正等四因子。未來可幫助教師了解學生

在地球科學上的學習風格與後設認知能力，提供教師調整教學風格與運用後設認知策略於地球科學教學上的依據，並作為進行欲進行相關研究的研究工具。

A. 研究的施測對象採「便利取樣」，以台灣嘉義地區高中學生進行施測，問卷回收 91 份，其施測結果經 SPSS 25.0 版進行相關的分析後，發現結果如下：

B. 在地球科學學習風格偏好上，在性別上無顯著差異，在學習偏向上則具有顯著差異，自然組學生偏好練習、編序、自主，而社會組學生偏好合作。

C. 在地球科學後設認知能力上，在性別上無顯著差異，在學習偏向上則具有顯著差異，自然組學生後設認知能力高於社會組。

D. 在地球科學學習上，後設認知能力主要與練習、自主、聽講呈現顯著正相關，而在合作上呈現顯著負相關。

關鍵詞：高中學生、地球科學、學習風格、後設認知能力

1. 研究動機與目的

在台灣高中的科學課程中，可分為物理、化學、生物、地球科學(以下簡稱地科)，前三者為基礎科學的範疇，而地科則屬於應用科學，另地科實為大學多學科的綜合，如：海洋學、天文學、地質學、氣象學等，所需要的先備知識與學習課程內所含的次屬知識遠多於其他科學課程。同時長年來地科的師資相對缺乏亦為地科教學上的限制(程膺，2019)。在台灣高中學生學習過程中，地科一直是精熟程度相較低者。因此如何提升台灣高中學生對地科學習的效率，便為研究者進行研究的出發點。

然而研究者觀察不同學生在學習地科的過程中所偏好的教學方式大相徑庭，部分學生在地科的學習歷程中其呈現教學偏好相對固定，而部分學生在不同地科內容面向上的教學偏好則明顯變動，研究者認為發現學習者的學習風格變化可能與對應學習內容有關，亦與學生的後設認知能力有關，以 Renzulli(1979)的學習風格觀點，教學偏好屬於外顯的學習風格的特徵，可能受學習內容與學習者自身特質的影響。

根據上述動機，本研究目的為利用自行開發的「高中學生地科學習風格與後設認知能力量表」量表調查研究台灣高中學生在地球科學上學習風格與後設認知能力之相關性，並分析不同性別與學習傾向之學生的異同處，探討台灣高中學生在地科課程的學習上學習風格與後設認知能力的情況。本研究根據研究目的提出下列兩項研究問題，進一步再區分為各子題：

(1)分析不同背景變項(性別、學習偏向、認知歷程)對台灣高中學生在地科課程的學習上學習風格與後設認知能力的差異情形。

a.在地科的學習上，台灣高中學生是否在上具有不同的學習風格偏好？

b.在地科的學習上，台灣高中學生是否具有不同的後設認知能力差異？

(2)探討台灣高中學生在地科的學習上其後設認知能力與學習風格之相關。

a.在地科的學習上，台灣高中學生後設認知能力與其學習風格間是否有存在相關性？

2. 文獻探討

2.1 台灣地科課程內容與認知歷程

台灣 12 年國教中的地科課程主要於國三至高三(相當於 9-12 年級)進行，內容包含地質、海洋、大氣與天文等內容，會於高三(12 年級)上學期完全完成，均以螺旋式課程設計，高中必修課程包含國中課程，高中選修課程包含高中必修課程。國中階段的地科內容與理化、生物結合，比重為 2/18，主要在國三(9 年級)教授。高中階段的地科內容獨立，為必修地球科學、選修地球科學(地質與環境)、選修地球科學(大氣、海洋及天文)，分別在高一(10 年級)、高二至高三(11-12 年級)教授。台灣地科課程包含地質、海洋、大氣與天文四大領域，由此可知地科為一門跨領域的複雜學科，不易教，也不易學(程膺，2019)。Pyle(2008)亦提出因地科必須用物理、化學、生物等科目的觀念於地質學、氣象學、海洋學、天文學等分支科學中，因其為融合性的學科，造成在 K-12 的課程中教授地科，相較於其他學科面臨更大挑戰。因此如何梳理地科學習脈絡，為提升地科學習效率的開始。

因地科所含知識涵蓋甚廣，以學科知識內容劃分相對流於繁雜而無層次，各分支學科各有其系統，若欲研究特定分支學科之內容，顯得零碎且片面，而研究全面學科，則各分支學科系統不同，紛亂且龐雜。故本研究跳脫傳統學科區分，選擇以認知歷程剖析相對複雜複雜學科內容，認知歷程為個體在認知過程中運用的思維技能，首由 Bloom(1956)提出，提出 6 層次，亦有 Marzano(2000)提出不同分類-三系統六層次(認知系統、後設認知系統、自我系統)與領域知識(資訊、心智程序、生理程序)。本研究認為採用認知歷程的架構來分析地科學習內容。

2.2 台灣地科學習上學習風格與後設認知能力之研究近況

學習風格(learning style)指個人在學習過程中，所顯示的學習偏好或傾向，風格本身並無優劣之分，且並非能力，而為使用能力的偏好方式，其受遺傳和個體與環境長期交互作用而形成的穩定性特質。目前有多樣學習風格的理論文獻，如：Dunn & Dunn(1978)分別由物理面、環境面、社會面和生理面來說明學習風格；Silver、Strong & Perini(1997)將學習風格分成精熟型、理解型、自我表達型、人際型等；Kolb(1984)將學習風格透過資訊接受偏好、訊息處理傾向區分為調適型、發散型、同化型、聚斂型等；Bandler & Grinder(1979)提出 VAK 理論，將學習風格區分為視覺型、聽覺型、動覺型或觸覺型。由以上相關文獻可窺得對於學習風格仍存有不同的定義與模式並無一致性的共識，Curry(1990)亦提出此觀點。然教學過程中所使用的策略若能夠配合學習者的學習風格偏好，則可顯著提升學生的學業成績(Klavas, 1993; Nelson, Dunn, Griggs, Primavera, Bacillous, Fitzpatrick, & Miller, 1993)。而以教學策略偏好定義學習風格的便屬 Renzulli 的分類(Smith & Renzulli, 1984; Renzulli, Smith, & Rizza, 1998)。根據研究者搜尋學習風格的研究多在於外語為主，台灣進行探討地科學習與學習風格的相關研究結果付之闕如，故的確需要進行此類型的研究以協助教學現場提升地科學習成效。

而後設認知(或稱為元認知)可定義為「個人對於自我認知過程的察覺(而非過程的內容)以及對自身認知過程的控制與改善的察覺。」(Biggs & Moore, p527, 1993)。張俊彥(1996)指出欲培育出地科領域中優秀學生的重要關鍵之一，便是後設認知能力。同時 Chipman(1991)指出在不同知識領域的高階認知技巧不儘相同，而適用最普遍、不受領域限制的是後設認知技能(metacognitive skills)。多數研究認為後設認知力是控制所有高階思考的主要機制 (Flavell, 1979; Bruer, 1995; Chipman,1991; Kuhn, 1999)。許多研究也發現，專家的後設認知力遠強於生手(Bruer, 1995)。其

重要性廣泛地認同主要是因該能力能可使思考者清楚地知道自身認知狀態，並能幫助思考者計劃行動與衡量行動結果。由此可知在地科領域中的優質學習者，其後設認知能力是不可或缺的。

然學者對於後設認知的看法不一，如：「監控認知過程」(Flavell, 1976)、「一種應變能力以及自我控制調節學習」(Osman & Hannafin, 1992)、「與執行控制系統的知識有關」(Brown, Harper & Hedberg, 1994)、「評估認知的狀況，如：自我評價與自我管理」(Gordon, 1996)。由此可知後設認知視為在後設層級上作用「認知的結構模型」，並透過監測和控制的功能與認知的客體層級連結(Efklides, 2006)。有關後設認知的理論內涵，多位學者(Flavell, 1987; Schraw & Dennison, 1994; Veenman, Van Hout-Wolters & Afflerbach, 2006)提出不同觀點，但大致可將歸納為兩大面向：後設認知知識(metacognitive knowledge)，亦稱為認知知識(knowledge of cognition)與後設認知技能(metacognitive skill)，亦稱為認知調整(regulation of cognition)。而研究者搜尋台灣在地科學習上後設認知的相關研究後，發現僅有少數研究(張俊彥、董家莒，2000)討論特定單元中以教學策略與後設認知的結合，但對於學生在地科學習上的後設認知能力並無著墨。故研究者認為需要進行在地科學習上學生後設認知能力的相關研究。

關於學習風格與後設認知的相關性之研究，Vermunt(1996)認為後設認知技能在調節學生學習中，無論在調節策略或學習心理模型上，均具有核心作用。Kolb(2009)亦提出相似概念。在Vermunt(1987)研究中提及後設認知能力與學習風格具有相關性。然台灣在地科學習相關研究中，卻全然缺乏討論學習風格與後設認知能力的相關研究。

3. 研究方法

3.1 研究對象

本研究對象為台灣嘉義地區某私立高中的高三全體學生。對象選擇為高三學生，因高三學生已學習完整的高中地科課程，對地科課程的內容有較清楚的了解，並有充足的學習經驗。然因為本研究調查因限於經費與人力，僅以便利抽樣方式，針對研究者所任教之私立學校進行研究，因此本研究推論僅限於抽樣範圍。於 2019 年 12 月 15 日針對研究對象 129 名進行正式量表施測。扣除不願作答與無效量表，最終回收 91 份(回收率 70.54%)有效量表，作為分析樣本，如表 1 所示。

表 1 有效樣本基本資料摘要表(n=91)

變項	性別		學習偏向			
組別	女性	男性	社會組偏向	自然組偏向	均有	不明
人數(%)	44(48.4%)	47(51.6%)	35(38.5%)	40(44.0%)	14(15.4%)	2(2.2%)

資料來源：研究者自行整理

3.2 研究工具

本次研究所使用量表為研究者自行研發的「高中學生地科學習風格與後設認知能力量表」，本量表分成三個部分：學生基本資料、教學偏好、後設認知能力。

在教學偏好部分，分別以認知歷程與教學偏好作為向度。認知歷程向度則以認知歷程係為

Bloom 之學生 Anderson 以及其研究同僚 Krathwohl 共同修訂之記憶、了解、應用、分析、評鑑、創造等六種(Anderson & Krathwohl, 2001)。因此本研究採以 Bloom 所提出的認知歷程為架構，將地科學習內容以運用的認知歷程(記憶、了解、應用、分析、評鑑、創造)(Anderson & Krathwohl, 2001)，區分為對應內涵及相關的教學情境，化靜態的學科知識為動態的學習歷程，如下表 2 所示，本研究亦以此為軸建構地科學習風格量表，以地科課程中可能出現的教學情境(包含各分支學科)進行對應，整理出 50 種教學情境，經過 3 名專家(1 位大學教授、2 位高中地科教師)的修正針對教學情境對應與文字敘述進行審核，建立專家效度，挑選出修正出 12 種對應情境(每歷程各 2 種)。

表 2 對應認知歷程之地科學習情境示例

認知層級	地科學習情境示例(呈現部分)
記憶	列舉地殼所含元素、辨識海水所含六大鹽類、定義大氣固定氣體種類、配合節氣對應太陽位置、描述可記錄氣候變遷的地質證據
了解	比較軟流圈厚度與地殼類型差異、說明地震波波速變化、辨別大氣冷卻模式、歸納恆星周日與周年運動、分類造成全球暖化的人為因素與自然因素
應用	閱讀地質圖說明摺皺斷層可能位置、使用衛星雲圖解讀當時天氣、由溫鹽曲線圖推論海水水團關係、由地殼均衡原理計算冰川消退後地殼可能抬升的高度
分析	概述氣流過山過程的氣象性質變化、建構地平天球與赤緯天球的科學模型、以圖示說明聖嬰現象時太平洋海氣狀態關係、連結地球繞日相關規律與冰期變化週期關係
評鑑	評述環境公約實行對減緩全球暖化的影響、解釋核能發電與太陽能發電對環境影響差異、詮釋中世紀小冰期事件對全球文明的影響
創造	建構出都市防洪的整體規劃、計畫火山爆發預測模式以提供預警防災機制、以課程所學製作簡易的光譜儀

資料來源：研究者自行整理

教學偏好向度以 Renzulli(1979)所提出的學習者在特殊的學習活動以及與課程、教材的交互作用當中所偏好的教學策略作為對應的學生偏好學習風格為基礎，整理出高中地科課程可使用的 9 種教學方式。本研究認為採用 Renzulli 分類較適宜研究在不同認知歷程下學習風格轉變較為適宜，原因有二：

可減少評估風格過程中誤差：傳統上多數學習風格之評估方式多以心理概念或特徵對應學習風格的關係，然此類方式以需要建構量表內容與心理概念或特徵的連結，亦建構心理概念或特徵及學習風格的關係，此二次測量結果相對不可靠。

有助於教學者理解風格：採用具體的教學策略區分風格，有助於使非教育背景或缺乏教育心理概念之教師有效理解學習風格，並減少研究成果轉化實際課程教學現場的困難與時間。

故根據 Renzulli 分類歸納修正適合於台灣高中地科教學中採用的九種教學偏好，呈現如下表 3，並以此為軸，與上段文獻歸納的地科學習情境共同編制研究工作地科學習風格次量表。

表 3 適宜高中地科教學的教學偏好

教學偏好	模式
聽講	主透過教學者、專業人士等以講解方式來了解學習內容。
練習	學習者透過練習與背誦的方式來理解與掌握學習內容。
編序	教學者設計安排教材依由淺而深的順序而使學習者依序學習。
自主	學習者學習自行規劃安排個人學習或主動蒐集資料以解決問題。
討論	透過說出個人看法以及與他人交換想法的過程，來學習或解決問題。
朋輩	向同學請教問題和學習經驗，在同儕互動中學習和增廣見聞。
合作	和同學們一起準備考試和功課，或是透過小組共同完成任務。
師導	學生跟隨具某領域特殊知識或技能的專家或年長者，學習自己有興趣的知識技能。
數位	應用網路、手機 app、電腦軟體、互動式光碟等數位媒介，來獲得知識與解決問題。

資料來源：研究者自行整理

經兩向度交互組合形成 108 題的教學偏好量表，作為學習風格的測量工具，均以 Likert 七點量表呈現，計分時以正面敘述的「最偏好」為 7 分，以負面敘述的「最不偏好」為 1 分，而「中立」為 4 分，分數越高者為越偏好該種學習風格。經過效度分析後，刪除數位分量表，並將原認知歷程中記憶、了解、應用與分析合併為初階認知，而評鑑與創造則合併為進階認知。
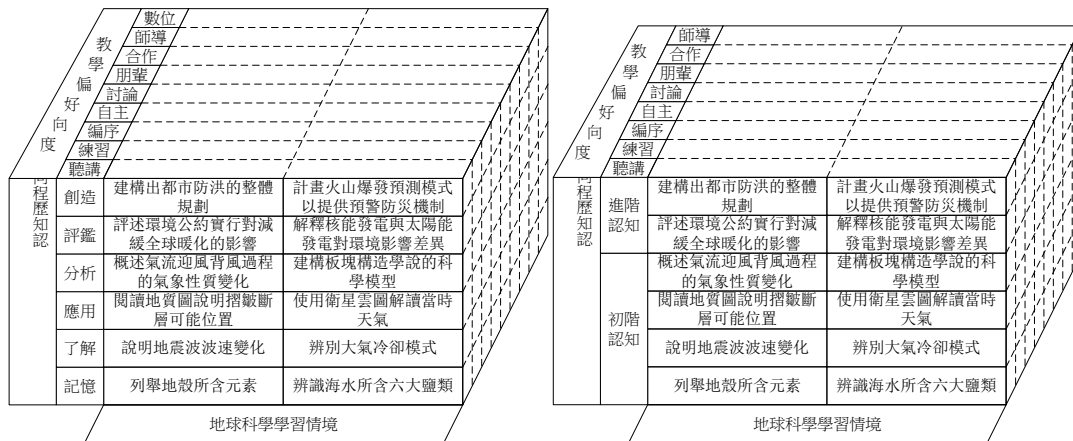
圖 1 原始版(左)與調整版(右)量表架構(研究者自行繪製)

本研究著重於學習者在學習地科過程中其認知調整，相較著重於後設認知技能部分，強調個體從事認知活動當下的所進行的計畫、監控、修正、評估等行為。故本研究由此歸納出「目標設定」、「自我監控」、「自我評鑑」、「自我修正」等四個面向，分別定義如下：

目標設定：指學習者懂得在學習歷程前，進行目標設定、規劃學習步驟。

自我監控：指學習者懂得在學習歷程中，檢視自己對策略使用、計畫執行，是否有錯誤之處。

自我評鑑：指學習者懂得在學習歷程後，評判自己學習效果，是否有需要修正或調整的地方。

自我修正：指學習者懂得在學習歷程後，在相對需要修正或調整的部分，提出對應學習策略。

並據此定義發展地科學習後設認知能力次量表，以文獻探討中所提出後設認知構念四因子：目標設定、自我監控、自我修正、自我評鑑，編寫後設認知量表，初稿編寫包含 30 題，含有 4

個分量表，均以 Likert 四點量表呈現，計分時以正面敘述的「非常同意」為 4 分，以負面敘述的「非常不同意」為 1 分，而「同意」與「不同意」分別為 3 分與 2 分，分數越高表地科後設認知能力較佳。再經過 3 名專家(1 位大學教授、2 位高中地科教師)針對題目內容與文字進行審核，以建立專家效度，討論後刪減 11 題，剩餘 19 題，分量表為目標設定 4 題、自我監控 6 題、自我修正 5 題、自我評鑑 4 題。

3.3 工具信效度

根據因素分析結果顯示學習風格可建構出 2 類因素，即因素 1-初階認知(記憶、了解、應用、分析)與因素 2-進階認知(評鑑、應用)，如附件所示。學習風格整體量表信度為.922，後設認知整體量表信度為.868，個別分量表量表信度如表 4。

表 4 個別分量表信度

學習風格部分	初階認知 α=.905	聽講 α=.935、練習 α=.945、編序 α=.940、自主 α=.961
	進階認知 α=.846	討論 α=.911、朋輩 α=.948、合作 α=.951、師導 α=.951
後設認知部分	目標設定 α=.726、自我監控 α=.794、自我評鑑 α=.673、自我修正 α=.713	

3.4 研究設計與研究流程、資料分析

本研究主要採取問卷調查法，使用自行設計的量表以調查台灣高中學生在地科學習上的學習風格與後設認知能力。量表經專家審查、初步量表信效度化與數次修正後，進行施測與後續資料分析。量表回收並輸入資料庫後，進行量化之數值統計、內容分析、資料之交叉分析。本研究以 SSPS 統計軟體進行量化資料的分析，除描述性統計等基本性質描述外，並用獨立樣本 T 檢定、相依樣本 T 檢定、相關性分析等進行做基本資料與教學偏好及其各向度間的相關性分析。

4. 研究結果

本研究根據研究目的與研究問題，針對三個方向來進行分析探討。分別為：學生對不同認知歷程屬性的地科內容之學習風格(教學偏好)、學生對地科學習的後設認知能力、學生對地科學習的學習風格與後設認知能力之相關性。

4.1 學生對不同認知歷程屬性的地科內容之學習風格(教學偏好)

本研究將學生於整體地科內容與不同認知歷程的地科內容對學習風格偏好進行敘述統計分析，如下表 5。發現整體學生最偏好於聽講風格，相對對於練習風格最不偏好。

表 5 整體學生的學習風格偏好程度之敘述統計分析摘要(n=91)

學習風格	聽講 (M/SD)	練習 (M/SD)	編序 (M/SD)	自主 (M/SD)	討論 (M/SD)	朋輩 (M/SD)	合作 (M/SD)	師導 (M/SD)
整體	4.97/1.37	3.20/1.59	4.00/1.50	3.35/1.78	3.96/1.45	4.19/1.57	4.24/1.72	4.52/1.59
初階認知	4.95/1.56	3.35/1.78	4.16/1.60	3.25/1.83	3.89/1.54	4.28/1.66	4.23/1.85	4.56/1.64
進階認知	4.99/1.43	2.90/1.62	3.68/1.69	3.54/2.03	4.09/1.88	4.02/1.77	4.24/1.90	4.43/1.84

備註：樣本數均為91，M為平均數，SD為標準差
資料來源：研究者自行整理

若針對同種學習風格在不同認知歷程的地科學習內容之偏好差異，以相依樣本 t 檢定進行

比較，發現練習、編序、自主等學習風格上有顯著差異，其他學習風格均無顯著差異，如下表6。本研究認為聽講學習風格在初階、進階認知歷程中無顯著差異的原因，應與在學校教學環境中，聽講為最主要的教學方式有關。在認知歷程的配對比較上，整體學生在進階認知歷程上，練習、編序風格的偏好程度相對降低，而自主風格的偏好提升。此可能與較高層次的認知歷程運用思維技能相對複雜，使學生學習過程中需要更多元思考，造成此風格變化狀況，同時亦可由討論風格偏好程度的提升為佐證。

表 6　整體學生對不同認知歷程地科內容的學習風格偏好比較相依樣本 T 檢定摘要

配對	初階認知歷程-進階認知歷程							
學習風格	聽講	練習	編序	自主	討論	朋輩	合作	師導
t值	-.279	3.024**	3.382**	-2.043*	-1.120	1.838	-.025	.999

　備註：* p<.05，** p<.01，表該學習風格在不同認知歷程配對上具有顯著差異
資料來源：研究者自行整理

　　在先前研究(陳信助，2011)中認為性別對學習風格具有顯著差異。然本研究針對不同性別對同種學習風格偏好的差異比較，以獨立樣本 t 檢定進行比較，男女學生在地科的學習風格上並無顯著差異。而若以認知歷程再細分，對地科的學習風格亦無顯著差異。

　　在先前研究(Almeida & Mendes, 2010)中認為學門對學生學習風格無顯著差異。但本研究針對不同學習偏向對同種學習風格偏好的差異比較，以獨立樣本 t 檢定進行比較，社會組偏向與自然組偏向在地科上的學習風格則在練習、編序、自主、合作上具有顯著差異。而若以認知歷程再細分，則發現聽講、師導在不同認知歷程上無顯著差異，而其他學習風格在不同認知歷程上則多具有顯著差異，如下表 7。

表7　不同學習偏向之學生學習風格偏好之獨立樣本T檢定分析摘要(社會組n=35、自然組n=40)

學習風格 認知歷程		聽講	練習	編序	自主	討論	朋輩	合作	師導
整體	社 M	5.02	2.65	3.47	2.90	4.32	4.62	4.76	4.57
	自 M	5.16	3.79	4.56	3.79	3.69	4.04	3.69	4.26
	T 值	-.454	-3.273**	-3.220**	-2.198*	1.892	1.682	2.795**	.835
初階 認知 歷程	社 M	5.04	2.81	3.55	2.74	4.23	4.51	4.68	4.65
	自 M	5.16	4.03	4.83	3.77	3.72	4.28	3.77	4.35
	T 值	-.360	-3.125**	-2.467**	-3.643**	1.436	.607	2.158*	.791
進階 認知 歷程	社 M	4.99	2.31	3.32	3.21	4.50	4.84	4.92	4.41
	自 M	5.15	3.33	4.01	3.84	3.63	3.54	3.52	4.08
	T 值	-.494	-2.798**	-1.712	-1.344	2.062*	3.389**	3.398**	.757

　備註：* p<.05　** p<.01，表該學習風格在整體或不同認知歷程上具有顯著差異。
資料來源：研究者自行整理

4.2　學生對地科學習的後設認知能力

　　將學生對於地科學習的後設認知能力進行敘述統計分析，如下表 8。若針對分向度比較，以相依樣本單因子變數分析進行比較，發現後設認知能力在不同向度的差異，自我監控均顯著

高於其他分向度，另外目標設定亦顯著高於自我評鑑，而其他無顯著差異，如下表 9。

表 8 整體學生地科學習的後設認知能力之敘述統計分析摘要

後設認知	整體	目標設定	自我監控	自我修正	自我評鑑
M/SD	2.80/0.47	2.77/0.60	3.08/0.61	2.75/0.58	2.59/0.74

表 9 整體學生地科學習的後設認知能力分向度比較之變異數分析摘要

變異來源	SS	df	MS	F	事後比較
組間	11.379	3	3.793	16.125***	1>4、2>1
組內(誤差)					2>3、2>4
受試者間	80.758	90	.897		
殘差	63.514	270	.235		
全體	155.651	363			

備註：***為顯著性p<.001；1目標設定、2自我監控、3自我修正、4自我評鑑。

由之前研究(Güss & Wiley,2007)認為性別差異可能為影響後設認知能力的因素，認為女學生之後設認知高於男學生。但亦有研究(Zulkiply, Kabit & Ghani, 2008)提出性別未對後設認知能力造成影響。本研究針對不同性別對地科後設能力的差異比較，以獨立樣本 t 檢定進行比較，男女學生在地科的學習風格上並無顯著差異。而若以分向度再細分，對地科的後設認知能力亦均無顯著差異。而本研究針對性別變項進行獨立樣本 t 檢定，發現無論性別在後設認知能力總量表或四項分量表中，均未達顯著，表示在地球科學的學習上，性別對後設認知能力無顯著差異，支持性別未對後設認知能力造成影響。

若針對不同學習偏向對後設認知能力的差異比較，以獨立樣本 t 檢定進行比較，社會組偏向與自然組偏向在地科上整體後設認知能力具有顯著差異，自然組顯著高於社會組，而若以分向度細分，則發現除自我評鑑上無顯著差異外，其他三分向度均具有顯著差異均為自然組高於社會組，如下表 10。

表 10 不同學習偏向的學生在地科學習的後設認知能力分向度差異比較 t 值之分析摘要

後設認知	整體	目標設定	自我監控	自我修正	自我評鑑
社會組偏向M/SD	2.66/0.47	2.63/0.63	2.89/0.55	2.78/0.52	2.56/0.76
自然組偏向M/SD	2.97/0.39	3.01/0.53	3.28/0.52	2.93/0.54	2.65/0.73
差異顯著性	-3.026**	-2.803**	-3.178**	-2.780**	-5.40

備註：**為顯著性p<.01，表不同學習偏向的學生在該分向度平均值具有顯著差異。

4.3 學生對地科學習的學習風格與後設認知能力之相關性

本研究將學生後設認知能力與各種學習風格進行相關性分析，發現後設認知能力與練習、自主、聽講呈現顯著正相關，而在合作上呈現顯著負相關，然多數 r 值於 0.1-0.39 間，屬於低度相關，僅練習風格與後設認知能力之 r 值大於 0.4，屬於中度相關，如表 11。發現學生的後設能力越高，越傾向採用練習、聽講、自主，相對不傾向採用合作。另外，若學習風格偏好程度與後設認知之分向度進行相關分析，可發現練習是唯一在各分向度均為顯著正相關者。

表 11 後設認知能力與不同學習風格的相關性 r 值之分析摘要

相關性	學習風格							
	聽講	練習	編序	自主	討論	朋輩	合作	師導
後設認知	.238*	.457**	.030	.208*	-.047	.047	-.220*	-.074
目標設定	.195	.376**	.087	.195	-.057	-.004	-.209*	-.073
自我監控	.224*	.378**	.158	.229*	.064	.030	-.192	.046
自我修正	.152	.344**	-.022	.262*	-.014	.130	-.162	-.078
自我評鑑	.176	.331**	-.088	-.031	-.106	.053	-.080	-.146

備註：**為顯著性p<.01，*為顯著性p<.05。

　　若細部分析，其後設認知能力與不同認知歷程學習風格組合的相關性，如表 12，練習與聽講在初階與進階認知歷程中，均為顯著相關，而練習在初階認知歷程中具有中度正相關(.7>r>.4)，但在進階認知歷程卻降為低度正相關(r<.4)。聽講則在不同認知歷程中相關程度無明顯變化，均為低度相關(r<.4)。而自主風格則在進階認知歷程中與後設能力具有顯著相關，然 r 值仍相對偏低，屬於低度相關。

表 12 後設認知能力與不同歷程學習風格組合的相關性 r 值之分析摘要

相關性	初階認知歷程之學習風格							
	聽講	練習	編序	自主	討論	朋輩	合作	師導
後設認知	.226*	.475**	.022	.179	.013	.074	-.208*	-.047
目標設定	.191	.402**	.072	.162	-.031	-.012	-.189	-.051
自我監控	.213*	.394**	.123	.220*	.101	.058	-.199	.046
自我修正	.146	.364**	.005	.253*	.003	.139	-.176	-.061
自我評鑑	.165	.307**	-.100	-.048	-.038	.087	-.061	-.108

相關性	進階認知歷程之學習風格							
	聽講	練習	編序	自主	討論	朋輩	合作	師導
後設認知	.241*	.334**	.032	.253*	-.116	-.029	-.205	-.082
目標設定	.195	.224*	.092	.266*	-.082	.014	-.213*	-.053
自我監控	.229*	.248*	.123	.237*	-.017	-.049	-.128	.054
自我修正	.135	.278**	-.071	.267*	-.040	.056	-.077	-.109
自我評鑑	.186	.338**	-.006	-.009	-.141	-.034	-.140	-.165

備註：**為顯著性p<.01，*為顯著性p<.05。

5. 研究結論與建議

5.1 結論

　　若由不同學習偏向的觀點進行分析，可整理出社會組學生與自然組學生不同的教學偏好情況，如下表 13。由不同學習偏向的學生學習風格分布，社會組偏好的學習風格多為人際互動為主的模式，如：討論、朋輩、合作、師導等，相對而言，自然組偏好的學習風格多為非人際互動為主的模式，如：聽講、練習、編序、自主等，不同學習偏向的學習風格具有差異，此結果亦與Witkin & Goodenough(1976)所提出的場獨立與場依賴之認知風格相呼應。

表 13 自然組與社會組學生之學習風格偏好整理

歷程	社會組偏好學習風格	自然組偏好學習風格
整體	合作	練習、編序、自主
初階認知	合作	練習、編序、自主
進階認知	討論、朋輩、合作	練習

資料來源：研究者自行整理
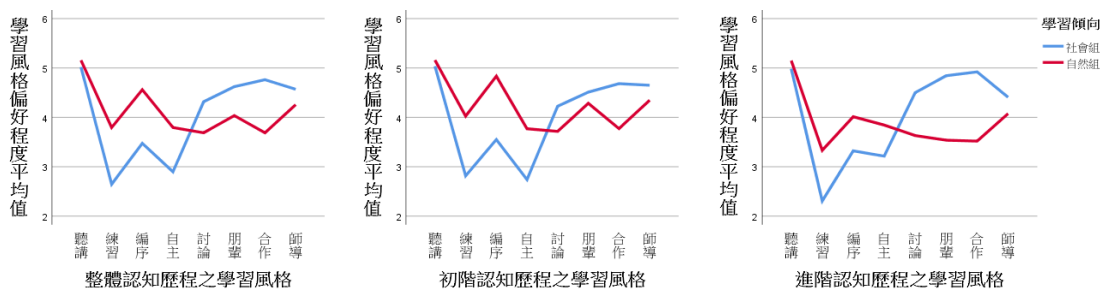
圖 2 不同學習偏向之學生在不同認知歷程的學習風格偏好側面圖(研究者自行繪製)

　　而在後設認知能力與學習風格的相關上，本研究發現在聽講、練習在整體、初階、進階認知歷程中均具有顯著正相關，原因可能為於傳統課堂教學上多以教師在課堂上講述方式為主，同時為應付升學考試壓力，使用練習試題為主的方式學習與複習，而高後設認知能力的學生會傾向選擇學習成效較高的方式進行學習，進而調整自身學習風格使其偏向學生配合教師教學模式，造成學生在學習風格上採用聽講與練習風格為主。關於學生風格的調整與形塑，後續以質性研究深入探討。

　　在後設認知能力自主風格上原由初階認知歷程中無顯著相關，而在進階認知歷程中呈現出顯著相關，本研究認為此轉變現象主要在於進階認知歷程中學習內容所需使用的思考程度增加，原有練習風格已不敷學習所需，而後設認知能力中目標設定、自我監控、自我修正均為自主學習中的重要核心，因此造成高後設認知能力的學生轉換使用自主學習風格。此亦可由學習風格偏好程度的轉變，相較於初階認知歷程中，在進階認知歷程中練習風格的偏好程度下降，而自主風格的偏好程度上升來佐證。

5.2 建議

　　當前世界教育趨勢為使學習者學會如何學習(OECD, 2018)。培養學生的後設認知能力即讓學生具有自我修正且獨立運用學習策略追求知識，進行更高效的學習。具有較高後設認知能力的學習者相較一般學習者，能自我修正學習、亦較能獨立探索新知，應用較符合自己所需的策略學習(Beradi-Colette ,1990)。然而不同分組之學生在後設認知能力上的差異為何種因素造成，仍須後續質性研究深入探討分析。同樣在後設認知能力與學習風格的顯著相關，是因學生後設認知能力影響學習風格選擇，抑或因組別科目不同造成學習差異致使學生後設認知能力、學習風格有差異，可為深入研究議題。此外本研究因僅針對科學課程中的地科部分，其他科學課程是否亦出相似結果，亦為可後續研究議題。

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附件一　學習風格量表因素分析表

聽講分量表
結構矩陣

	因子	
	初階	進階
分析1	.911	.451
應用1	.878	.434
應用2	.865	.431
了解2	.856	.422
分析2	.850	.289
了解1	.814	.335
記憶2	.775	.528
記憶1	.684	.454
評鑑2	.521	.837
評鑑1	.236	.773
創造1	.483	.754
創造2	.643	.734

擷取方法：主軸因子法。
轉軸方法：使用 Kaiser 正規化的斜交轉軸法。

編序分量表
結構矩陣

	因子	
	初階	進階
應用2	.899	.719
記憶2	.839	.560
分析1	.823	.633
了解2	.795	.580
應用1	.783	.577
記憶1	.774	.561
了解1	.737	.445
分析2	.712	.443
創造1	.601	.903
評鑑2	.597	.846
創造2	.564	.815
評鑑1	.579	.803

擷取方法：主軸因子法。
轉軸方法：使用 Kaiser 正規化的斜交轉軸法。

討論分量表
結構矩陣

	因子	
	初階	進階
記憶2	.777	.356
了解1	.769	.408
記憶1	.766	.349
了解2	.737	.554
應用2	.733	.392
應用1	.730	.326
分析1	.701	.372
分析2	.650	.372
創造1	.553	.863
評鑑1	.313	.845
創造2	.496	.843
評鑑2	.481	.841

擷取方法：主軸因子法。
轉軸方法：使用 Kaiser 正規化的斜交轉軸法。

合作分量表
結構矩陣

	因子	
	初階	進階
了解1	.916	.592
記憶1	.914	.532
記憶2	.911	.565
應用1	.871	.583
應用2	.832	.569
了解2	.829	.603
分析1	.826	.664
分析2	.725	.607
創造1	.563	.902
評鑑2	.623	.853
創造2	.547	.835
評鑑1	.567	.790

擷取方法：主軸因子法。
轉軸方法：使用 Kaiser 正規化的斜交轉軸法。

練習分量表
結構矩陣

	因子	
	初階	進階
了解2	.865	.662
分析1	.859	.588
記憶1	.850	.533
應用2	.847	.594
了解1	.841	.657
應用1	.831	.610
記憶2	.829	.556
分析2	.790	.470
創造1	.566	.882
創造2	.655	.829
評鑑2	.513	.756
評鑑1	.495	.723

擷取方法：主軸因子法。
轉軸方法：使用 Kaiser 正規化的斜交轉軸法。

自主分量表
結構矩陣

	因子	
	初階	進階
了解1	.930	.674
應用1	.885	.665
應用2	.875	.713
記憶1	.865	.560
記憶2	.847	.606
了解2	.844	.632
分析2	.781	.719
創造1	.652	.954
評鑑2	.656	.897
創造2	.665	.896
評鑑1	.655	.835
分析1	.786	.797

擷取方法：主軸因子法。
轉軸方法：使用 Kaiser 正規化的斜交轉軸法。

朋輩分量表
結構矩陣

	因子	
	初階	進階
應用2	.912	.592
了解2	.883	.583
分析1	.830	.648
記憶2	.825	.723
記憶1	.807	.743
應用1	.797	.483
了解1	.745	.653
分析2	.727	.373
評鑑2	.606	.911
創造1	.531	.888
評鑑1	.556	.850
創造2	.559	.771

擷取方法：主軸因子法。
轉軸方法：使用 Kaiser 正規化的斜交轉軸法。

師導分量表
結構矩陣

	因子	
	初階	進階
應用2	.890	.505
了解2	.866	.725
了解1	.858	.605
記憶2	.830	.594
分析1	.829	.575
應用1	.817	.545
分析2	.735	.551
記憶1	.734	.588
評鑑2	.582	.896
創造2	.772	.869
評鑑1	.578	.862
創造1	.660	.841

擷取方法：主軸因子法。
轉軸方法：使用 Kaiser 正規化的斜交轉軸法。

Research on Environmental Protection Awareness and Behavior of Chinese Students Studying in Thailand

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Abstract

Environmental protection is one of the urgent problems for China and the world. College students, as representatives of high-quality people, play an important role in environmental protection. They shoulder the important tasks of sustainable development and the construction of ecological civilization. This article takes 350 Chinese students from Dhurakij Pundit University as the research object. The survey is divided into three parts: environmental protection concepts, environmental literacy, and environmental protection behavior.

Keywords: college student; environmental awareness; environmental behavior

在泰中国留学生环保意识与环保行为调查研究

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摘要

环保问题是中国和世界亟待解决的问题之一。大学生作为高素质人群的代表，在环境保护中扮演着重要角色，他们肩负着可续化发展、建设生态文明的重要任务。本文以 350 名博仁大学的中国留学生为研究对象，从环保观念、环保素养和环保行为三个方面展开调查，探寻当代大学生环保意识和环保行为的现状与特点。调查结果显示，大多数大学生具有环保意识，可以通过实际行动来响应环境保护的号召。

关键词：大学生；环保观念；环保行为；环保素养

1. 内容介绍

1.1 研究背景

环境污染，指的是自然地或人为地向环境中添加某种物质，超越了环境的自净能力而产生的危害行为。环境污染的几个主要种类包括：大气污染、光污染、水体污染、热污染、核污染、滑雪污染、噪音污染，等等。环境恶化的表现同样层出不穷，北京因工业污染而"窒息"，加拿大古老的寒温带森林被夷为平地，印度尼西亚的热带雨林因农耕被焚烧殆尽，印度农民的庄稼被百年难遇的洪水冲走，美国加州经历空前干旱，迈阿密的海面却悄悄蔓延淹没了街道，还有格林兰、北极……人类出于对自身发展的满足，一直都在掠夺地球资源。

世界环境正面临着面临严峻考验，人们对环境越来越重视，同时也对环境及环境保护付诸更多的关注。国际间的气候专门会议多从政府及企业的角度提出倡议，讨论的关键在于如何在发展的同时承担责任。中国在近几年做出很多尝试，譬如在试点城市开展强制垃圾回收工作，推广清洁能源使用，设置新型垃圾分类处理设备，在社会文化上倡导大众改变传统的焚烧、填埋的处理方式。当代大学生在环保事业中扮演着主力军角色，因为他们接受了高等教育，更容易接受新的理念、养成新的习惯。因此，了解大学生环保意识现状，对于解决环境问题与促进生态文明和谐有着重要的意义。

1.2 研究目的

（1）大学生环保观念的基本情况与分析
（2）大学生环保素养的基本情况与分析
（3）大学生环保行为的基本情况与分析

1.3 研究对象

本文的调查研究对象是博仁大学的 350 名不同年级的中国留学生。

1.4 研究方法

（1）抽样方式

对不同种类的对象分别开展深度访谈，做好访谈记录。深度访谈可以不介入被访者的心理活动，让他们自由的阐述观点，不受他人的打扰，更能挖掘其内心的真实想法，同时能够更富有感染力，获取资料更为丰富；针对深度访谈中发现的问题，拟定相应的问卷调查，有针对性的提问，总结出更具有代表性的理论；

综上来说，调研分为两部分，在前期对学生、教师等不同职业群体进行人物访谈，后期将访谈中出现的问题整理，设计问卷进行调查。访谈时采取分层随机抽样，问卷调查受调研组能力限制，在博仁大学中国留学生群体中进行简单随机抽样。

（2）取样来源与问卷数量

本次问卷在博仁大学中国留学生群体中共投放 350 份问卷，回收问卷 350 份，在回收的问卷中，通过甄别问题筛选后的有效问卷是 317 份，具体样本分布如下：

表一 各年级问卷回收数量

年级	2562	2561	2560	2559	共计
回收问卷量	63	65	120	69	317

（3）研究方法

本次调查对所采集的数据运用 SPSS20.0 进行分析，用 EXCEL 处理有关图表，用直观的方式表现和说明情况。

1.5 文献回顾

本文讨论的关键词为"环境保护"，文献回顾从中国和西方两个角度展开。

环境保护一般是指人类为解决现实或潜在的环境问题，协调人类与环境的关系，保护人类的生存环境、保障经济社会的可持续发展而采取的各种行动的总称。方法和手段有工程技术、行政管理、经济政策、宣传教育等等。

西方的环境保护意识觉醒较早。对于发达国家来说，由于经历过工业发展而引发的的环境破环及其连锁产生的社会问题与公共健康问题之后（如英国伦敦毒雾事件、德国鲁尔区发展时期严重污染），发达国家就开始思考环境保护的根源与措施，所以较中国而言，他们已经取得了一定的生态文明建设成果。自 1992 年公布的《联合国气候变化框架公约》，一直到 2015 年《巴黎协定》，通过对最具公信力的数个西方气候协定内容进行整理，可以发现西方社会对于环境保护的具体措施主要体现在：倡导减少有毒物质的使用，倡导减少废物产生，倡导减少污染源，倡导可持续的开发模式（李明臣，2001）。在环保行为与环保教育方面，美国学者提出了"新环境典范"的概念，诣在为人和自然之间提供一中新的互动思维（Dunlap，1978）。新环境典范提出具体的环保行为分类，包括说服、教育及强制三个方面。在全球性的气候公约中，多为"强制行为"，即政府通过制定和执行法律法规，要求大众采取相应的环保行为。教育行为则表现在社区和学校的环保行为教育，通过场景示范令人们对人与自然的关系产生更深刻的印象和见解。说服行为则是指对大众进行全方位的劝服，使他们的环保意识逐渐提高，同时还可以培养他们的生态文明行为。

在说服和教育的角度来看，许多发达国家将生态文明意识教育列为青少年教学内容重点。例如污染后的鲁尔区治理，政府将生态文明意识和行为教育同户外教育相结合，在学校设立环保角，开设多样化的户外体验活动（如垃圾分类、植树）。这些举措令学生们对于环保意识产生了较为深刻的认知，培养了良好的生活习惯，这对于鲁尔区日后恢复绿水蓝天有着不可忽略的作用。这为中国的环境保护工作的开展提供了参考。

再将视野转向东方，在中国，学者们对于环保意识与行为的研究多集中在发展现状、意识培养对策两大角度展开。在环保意识与行为的发展现状方面，许多学者认为，当代大学生的环保意识和行为习惯都带有较大的随机性，换言之，当下大众并未被培养起良好的环保思维（王学俭，2011）。主要原因包含两个方面，其一，学校教育力度不够，无论在重视程度上还是在氛围构建上，均有很大的提升空间；其二，社会造成的个性化人格令环保工作很难进行下去，如西式思维奉行的"个人主义"，及独生子女社会造成的道德素质方面的缺陷（如自私，懒惰），导致大学生缺乏社会责任心。在环保意识培养对策方面，梳理中国学者的建议如下：首先，对于大学生的环保意识培养需要有全民化的环保环境作为基础，如在广告传播中，品牌可从"环保产品"的角度进行创意诉求，社会的主流意识形态对于大学生的意识养成有着至关重要的示范与规劝作用（熊美，2014）；其次，学校需要专门开设相关课程，对生态文明与环保意识做充分的知识普及（钟文洁，2019）；再次，媒体应承担起相应的社会责任，因势利导，多进行环保信息的传播。

2. 数据收集与统计分析

研究小组的前期调查围绕着三个研究目标展开，即当代大学生的环保观念、环保行为和环保素养三个方面。

2.1 环保观念

（1）个人在环保行动中充当的角色。对于这一问题，有61.2%的学生认为个人环保行为对于环境保护工作的开展有着重大的意义，每个人的一小步，将会推动环保事业的一大步；34.38%的同学认为意义较大。

（2）对于大学生在环保活动中扮演的角色，50.47%的学生认为，环保工作与大学生密切相关，大学生是环保行动的主力军；46.69%的学生认为，大学生应与政府分别扮演各自的决策，承担起应尽的责任。0.95%的学生认为政府应成为环保活动更应该依赖政府，另有1.89%的学生态度不明确。

（3）对于污染源的认知情况。如表2所示，学生对于生活垃圾、生活废水、工业废气、乱砍乱伐、过度畜牧、汽车尾气、噪音污染对环境影响的看法基本客观。对于"过度消费"这一项，有接近三成的学生认为其影响一般甚至没有影响。过度消费带来的固体废弃物数量增加，对于环境治理与卫生保持造成压力。对此，"过度消费"的相关信息应得到进一步的普及。

表二 在泰中国留学生对污染源的认知情况

题目\选项	影响非常大	影响比较大	影响一般	基本没有影响
生活垃圾	145(45.74%)	117(36.91%)	50(15.77%)	5(1.58%)
生活废水	196(61.83%)	89(28.08%)	29(9.15%)	3(0.95%)
工业废气	275(86.75%)	36(11.36%)	5(1.58%)	1(0.32%)
乱砍乱伐	241(76.03%)	65(20.5%)	10(3.15%)	1(0.32%)
过度畜牧	179(56.47%)	104(32.81%)	33(10.41%)	1(0.32%)
汽车尾气	217(68.45%)	85(26.81%)	15(4.73%)	0(0%)
噪音污染	167(52.68%)	97(30.6%)	49(15.46%)	4(1.26%)
过度消费	116(36.59%)	110(34.7%)	79(24.92%)	12(3.79%)

（4）是否注意到日常生活中的塑料制品使用情况？泰国 711 超市是中国留学生最常去的消费场所。53.94%的同学认为，711 超市有过度包装、过度使用塑料袋的问题。经访谈，711 存在买水送吸管的服务，有很多同学并不使用吸管，这就造成了浪费。对固体废弃物的大量丢弃又会对环境保护带来新的负担。41.96%的同学可以做到按需使用，他们会主动提醒店员，尽可能少使用塑料袋与其他塑料制品。

此外，学校周边的大型连锁超市会有特定日期不提供塑料购物袋，有 56.78%的学生认为这是非常好的举措，他们愿意自带购物袋；30.6%的同学认为，不提供塑料袋虽然不太方便，但他们可以意识到该行为目的是好的；11.36%的同学表示中立态度，他们出钱购买塑料袋。有 1.25%的同学认为不提供塑料袋是超市服务缺失，导致消费体验打折扣。从这里可以看出，接近九成的学生都能意识到少用一次性塑料制品在环保、节能上的意义。

（5）如何看待学校组织的环保活动。学校环保活动多样，如课堂中组织的旧物利用、变废为宝，课下的校园环境清理、垃圾分类等等。环保活动可以引导学生从日常小事做起、从自己做起，增强学生爱护环境的自觉性。77.92%的学生认为校园环保活动很有意义，有助于培养大家的环保习惯。18.3%的学生认为该类活动可有可无，3.79%的学生不关注此类活动。

（6）无论是中国，还是世界，都日益重视环境保护问题，但在我们身边仍旧存在许多破坏环境、浪费资源的情况，出现这一问题的原因是什么？大学生认为环保与发展是一对矛盾问题、较难协调的占 66.56%，认为个人环境保护意识不强的占 87.38%，政府治理与环保宣传力度不够的占 52.68%，认为环保教育力度不够的占 61.83%。除了学校教育外，家庭教育也起到至关重要的作用。在访谈中，白同学表示，家庭的环保行动对学生的行为习惯培养有很好的示范作用。在重视环保的家庭中，孩子也会受到耳濡目染，易于形成低碳环保的生活方式。

2.2 环保素养

（1）对于环境保护信息的关注程度。有 98.42%的大学生会在日常关注环境保护相关的新闻报道与文章，其中 9.46%的大学生非常关注，会主动查阅环保信息与最新动向；55.52%的大学生一般关注，在看到推送时会点开查阅，但不会主动获取；33.44%的大学生偶尔关注。只有1.58%的大学生对环保信息完全不关注。

（2）对环境问题的了解情况。对"全球暖化"趋势的了解程度，有 12.62%的学生熟悉概念和内容；81.07%的学生认识到全球暖化是一个"事实"，对大概的含义和内容有了解；5.99%的学生听说过这一概念，但并不明白它的意思。0.32%的同学对"全球暖化"完全不了解。仅有 12.62%的学生较为熟知全球暖和的问题，这需要我们重新审视气候传播与环保教育的效果与力度。应"新环境典范"的倡议，政府、学校和大众传媒应该加大对环境现状的宣传力度，让更多的人了解到这一情况。

（3）对"低碳环保生活"的了解情况。低碳生活是一种生活方式，也是一种可持续发展的环保责任。低碳生活要求人们树立全新的生活观和消费观，减少碳排放，促进人与自然和谐发展。低碳生活将是协调经济社会发展和保护环境的重要途径。在本次调查中，17.67%的学生对低碳环保非常了解，78.23%的学生了解一些，4.1%的学生不太了解，在访谈中他们表示曾经听过但并不是特别了解其具体意思。完全不了解的学生人数为零，所以对待大学"低碳环保"的认知情况我们可以保持乐观态度。

（4）对极端天气和自然灾害的态度。以森林大火为例，森林火灾是一种突发性强、破坏性大、处置救助较为困难的自然灾害。亚马逊雨林每年都会发生数千次不同规模的森林火灾。它被称为"地球之肺"，因为它对于氧气生产发挥着重要作用。此前公布的数据显示，仅 2019 年亚马逊地区就发生了 72843 起火灾，比 2018 年同期增长 83%，是自 2013 年有记录以来的最高水平。现在大火正向大气中排放数量惊人的碳。大火产生的原因是人为的，大多数的火灾起因为农业火灾，如佃农收割后焚烧残余作物，或者是农民为了土地而清理森林。亚马逊雨林被破坏的速度惊人。一朝雨林消失，温室气体将无处排放，全球暖化的系列环境问题或许会出现不可控的局面。

大学生对于"森林大火"一类的信息感受是怎样的？有 31.23%的学生感同身受，感到非常焦虑；52.52%的学生感到一般焦虑，他们可以意识到问题的严重性；15.77%的学生对事实会产生

关注，他们可以平静地接受这一情况的发生；0.95 的学生对此表示没有过多的关注。意识到问题的严重性，这是做出环保行动的第一步。

（5）对待环保教育的态度。对学校开设环保知识讲座学生的参与意愿的调查显示，12.62%的学生一定会参加，59.94%的学生有时间会参加，17.67%的学生视情况决定是否参加，9.78%的学生表示不会参加。通过对参与环保讲座意愿不确定或持拒绝态度的学生进行访谈，结果显示：他们对这一概念并不关心，环保责任意识较为薄弱。他们更愿意将时间分配在学习和提升生活质量上。对于此现象，学校应予以重视。

（6）如果有时间，是否愿意参与环保活动？调查显示，86.44%的学生愿意参加此类活动。对此，我们可以保持乐观态度。博仁大学一直倡导老师和学生进行无纸化教学，珍惜纸张，拒绝浪费；在校园设置了多处分类垃圾箱，倡导学生不乱丢垃圾，循环利用；在教室、办公室、卫生间设置节约用水、用电、用纸等标语。校园环境令学生耳濡目染，起到了良好的教育作用。

2.3 环保行为

（1）对于环保资讯与环保信息的获取途径。大学生最经常使用的渠道为新闻网站、门户网站（如新浪、腾讯等），以及微博，以上几项选择人数均超过六成。这一结果显示，当代大学生多大多通过互联网获取信息。所以，政府和学校想要加强环保意识的建立与传播，在互联网上发布信息不失为一个良好的宣传手段。以课堂作为主要信息渠道的同学占 44.48%。由此可见，学校对于环境保护的推动起着重要作用，推动环保事业可从校园环保教育入手。

（2）一次性餐具的使用情况。在点外卖时，学生对于一次性餐具的使用情况如下：38.17%的学生每次外卖都会使用一次性餐具，46.69%的学生偶尔使用一次性餐具，11.67%的同学很少使用一次性餐具，3.47%的学生完全不使用一次性餐具。一次性餐具在中国、泰国的饮食市场普及程度非常大，使用一次性餐具不仅会造成额外的资源浪费，还会为垃圾处理带来新的压力。很大一部分大学生对一次性餐具有依赖的态度，低碳环保意识仍需加强。

（3）在查阅资料时，你会选择哪种形式？有 75.34%的同学选择使用电子文档，24.66%的同学选择纸质文档，其中双面打印的占 16.4%，单面打印的占 7.26%。博仁大学倡导"无纸化教学"，充分利用谷歌课堂、微课堂、Padlet、Kahoot 等形式对课程内容进行考察，无论是课堂互动还是作业检查，均通过线上的形式实现，减少了纸本的使用，有助于培养学生节约环保的习惯。

（4）在购物时是否会自带购物袋，选择经常自备的学生占 9.15%，偶尔自备的占 68.45%，从不自备的占 22.4%。从数据可以看出，在自觉减少不必要的外包装使用方面，当代大学生的素养还有待提高。

（5）学生对于废旧衣物的处置办法。针对这一问题的调查发现，有 64.35%的学生选择捐出旧衣，64.67%的学生会对旧衣进行改造和再次利用，如制成抹布、桌布、床单或购物袋。27,13%的学生会将旧衣转卖二手，27.44%的学生将旧衣直接丢弃。从数据可以观察到，大多数学生拥有环保节约、循环经济的意识，但仍有接近三成的学生选择丢弃处理。学校可对此加强引导，可将旧衣改造或捐赠，避免浪费。

（6）对于树立大学生环保意识，学校应通过哪些途径来实现这一目的？访谈获取的关键词包括管理、推广、环境营造、教育等。选择学校应制定相应的管理制度的占 63.41%，认为应加强宣传力度的占 79.81%，营造低碳生活、学习环境的占 79.81%，认为学校应加强责任意识教育的占 65.93%。

3. 结论与建议

通过此次调查数据分析可得知，虽然在环保意识与环保行为之间存在一定的偏差，但大部分大学生可通过实际活动来响应环保行动，具有较好的生活习惯，因此我们应该坚定信念，继续推进环境保护工作：

3.1 政府角度

政府的宏观调控对于环境保护工作的展开起到决定性作用。对此，政府和社会应尽量完善环境保护方面的法律法规，学习借鉴国外的先进治理办法与经验，做到有法可依；政府应加强对污染的严格监管，保障各项环保法律可依落实；政府应致力于产业结构的调整，坚持可续化发展、绿色发展。此外，政府还应注重生态文明的宣传，令生态文明成为大众文化的一个部分，提倡爱护环境、崇尚自然、适度消费，促进良好的社会风气形成。

1.1 家庭教育

家庭对于大学生的环保意识与环保行为的培养起到表率作用。家庭是孩子最初接受教育的地方，也是孩子各种行为形成的重要场所。家长的一言一行对于孩子行为的培养有着潜移默化的作用。在日常生活中，家长要自觉注意自身的环保行为，在家庭生活中充分起到示范作用，令孩子在良好的家里氛围中提升自身的环保素养与个人素质。

3.2 学校教育

通过对大学生喜爱的学校环保教育形式调查，学校可从以下几个方面增强大学生的生态文明教育：

表三 大学生愿意接受的环保教育形式

选项	小计	比例
增加生态文明教育课程	256	80.76%
参与环保社团组织活动	218	68.77%
加大校园生态环保监督	227	71.61%
丰富多样的环保宣传活动	227	71.61%
良好的校园文化环境潜移默化	226	71.29%
其他	29	9.15%

首先，学校应加强生态文明理论和知识的教育，开设专门的生态文明教育课程。在当下，环境污染是一个客观事实，但对于生态文明的基本情况，如污染类型、污染源、污染标准、环境构成等等，学生的认知程度还有待加深。利用课堂对相关环保常识与生态基础知识进行普及，可以增强大学生对生态环境的认识。除了基本的环保知识，学校还应注重培养学生的环保意识。有专家指出，生态道德是人们关于正义、善恶、友爱等传统美德在人与自然关系上的体现，它们相互促进，相辅相成。所以想要提升环保素养，也应注重大学生责任意识的培养。此外，对相关法律法规的普及可避免学生的违法行为，从而有益于生态文明建设。

其次，学校可通过多样化的教学方式来增进学生对于环保事业的理解。在环境保护教育方面，学校应避免填鸭式的枯燥教学，组织多样的环保活动。学生可在教师的指导下参与主题实践活动，譬如校园水体检测试验、空气检测试验、绿化率调查等，既丰富了教学形式，又可以使学生在参与活动时明白保护环境的重要性。

再次，学校应充分利用环境保护纪念日，进行专题活动，如"世界地球日"、"世界环境日"、"世界无烟日"等等。在举办专门活动时，学校应指派专业老师进行指导，适时为学生答疑解惑，增进环保认知，使活动更具组织性与针对性。

最后，学校可与政府有关部门进行合作，设置环保课题研究。政府作为社会需要和意志的最终贯彻者会透过政治和经济途径向学界传递科技新诉求，继而刺激、鼓励学界对于这一诉求做出迎合性的回应和研究。驱使这一过程实现的根本在于人类对自身利益最大化的追求。环境保护是全民事业，政府和学校可鼓励学生参与环保课题研究，在实践中发现问题，提出问题，提出解决方案。学生在研究过程中提高环保意识，继而自觉参与到环保行列之中。

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Exploratory Research into Marketing Strategy in Internationalization Education of Private University in Bangkok Thailand

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Abstract

In today's economic globalization, many countries in the world are facing a variety of new problems, including aging, low birth rate and other problems, resulting in many countries facing great challenges in the development of higher education. Thailand, certainly, is also greatly affected.In order to make Thailand Bangkok Higher Education University (referred to as colleges and universities) continue to develop, universities need to find a corresponding marketing strategy. This study adopts qualitative research approach while the researchers carry out a comprehensive review of literature to put forward the strategic framework of university marketing alongside combination of semi-structured interviews being conducted later. It is expected that the results of this study can be used as a reference for other university-level academic institute in Thailand in terms of enrollment.

探讨泰国曼谷私立大学教育国际化之营销战略

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摘要

在经济全球化的今天，世界很多国家都面临各式各样的新问题，其中老龄化、低出生率等问题，造成了许多国家高等教育发展面临很大的挑战，当然其中泰国也受到很大的影响，为了使泰国曼谷高等学校（简称高校）能够持续发展，高校需要找到对应的营销战略，固本研究采用定性研究，采用文献整理提出高校营销战略框架，将在后期结合半结构访谈，期望该研究的结果能作为泰国其他学校在招生方面的参考。

关键词： 私立大学，营销战略，国际化。

1. 绪论

1.1 研究背景

高等学校市场营销

市场营销由来已久，对商业从业人员而言管理、广告、定位等相关知识并不陌生。然而对于高校的管理人员来说，这些营销技巧被认为可能已不适用于高校或者说他们不知如何更好的应用这些技巧，通过对教育管理文献的调查，我们发现高校的外部环境发生了很大的变化，为了减少学用之间的落差，高校开始寻找并与外部环境建立一种新型的关系（Wei,2006）。伴随着高等教育的大规模的扩大，与此同时泰国的人口结构发生了很大的变化进入老龄化，根据联合国《世界人口展望，2012 年修订版》报告指出泰国是整个东南亚仅次于新加坡之后的排名第二低出生率的国家。未来大学生的短缺危机必然会爆发，高校需要借鉴他国的经验，制定有效的生存和可持续的招生营销战略。高等学校市场营销是通过提供优质教育服务（包括科学研究成果和社会服务）来满足以学生为中心的需求和实现高等学校的发展目标并追求社会效益而进行

的一系列活动（张庆亮。2006）。

1.2 研究目的

研究目的在营销战略基础上的解决办法或建议：
（1） 政府鼓励大学合并、转型或退出：此项目需要长时间规划且考虑到退出的障碍，这不是一个容易执行的解决方案。

（2） 泰国政府政策上鼓励和提高出生率：此方案需要全民的响应并且需要很长的时间才能取得成效。

（3） 高校寻找外部生源：与上述提出的解决方案相比，这是高校在不需要太多政府援助的情况下能够实现的目标，相对而言是比较好的方案。

泰国高校的设备齐全，师资雄厚，但是最大的问题在于生源不足特别是私立大学，泰国截止 2019 年有 72 所私立大学，其中曼谷的有 29 所（资料来自泰国高等教育部），显然泰国本土市场不够，而最佳的选择就是寻找海外留学生生源。海外留学生生源大致可以分为三类，第一类来自发达国家。第二类来自发展中国家，这些国家人口过剩，但却缺乏足够的教育资源。从理论上而言这些国家是很好的海外留学生资源，虽然近年来这些国家为了长期的发展，也投入了更多经费在教育的发展上，但是从近年泰国留学生占比来说除中国外一直排名第二（资料来自泰国 marketeer 网）。第三类海外留学生市场来自中华人民共和国（简称中国），虽然近年来高考录取率直线上升，但是还仍有一大部分的缺口（资料来自新浪教育网）。因此当泰国本土生源不足以保持大学的发展和可持续性时，从发展中国家或中国招收国际学生制定一个营销战略。

2. 文献综述

本章提供了对文献的回顾，以进一步找出研究问题，通过这些问题来集中展开本研究。高等教育机构越来越认识到他们面临的营销问题（Kotler, 1982）。许多学校正面临着学生和社会需求的变化，日益激烈的国际竞争和不足够的财政资源（Kotler, 1982）。在日益变化的全球化下要求大学进行创新，大学作为全球化的重要的一部分，非常有必要考虑当前的新趋势（Fedorov,Sedykh,&Amp;Aialkina,2019）。然而，却不容易做到（Lafuente-Ruiz-de-Sabando, Zorrilla, & Forcada, 2018)）。学校管理者不得不重新审视他们的营销战略，以保证学校的生存和可持续发展。

2.1 非盈利部门的战略规划

在非盈利组织和高等教育战略研究中，几乎所有的参考文献都与商业部门有关。Oster (1995) 利用 Porter's industry model 强调斩落对非盈利组织在创造竞争优势中的重要性。她认识到非盈利部门与商业部门并不完全相同，必须调整工具。例如 Oster 使用了一个类似于 Porter ，只是 Oster 用用户和资金组的议价能力代替了购买者的议价能力。Oster (1995)还强调了 Porter 模式对非盈利组织有以下的适应性。
（1） 声誉是进入大多数非盈利市场的主要障碍。
（2） 规模经济主要来自于专业化劳动机会的增加和生产成本的降低。
（3） 政府监管部门控制了许多市场的进入。
（4） 特定资产的存在增加了退出成本，阻碍了更多的投资者进入。

在 Oster(1995) 的六力模型中，购买者议价能力的替代成功地对 Porter 的非营利性商业模式进行了很大的改进。可惜的是，她没有进一步讨论供应商的议价能力，因为我们知道知道公众可以影响非盈利企业供应商的议价能力。Oster (1995)的结论是，非盈利组织之间的竞争将提高效率和反应能力，而合作将有助于社会服务。所有这些模型都表明，制定和实施战略对组织

的长期绩效至关重要。

2.2 高等教育战略规划的演变

战略规划在高等教育管理方面是一个相对比较新的领域。从 20 世纪 70 年代中期到 80 年代中期，高等教育经历了具有挑战性的人口、经济和技术变革等。20 世界 80 年代，高等教育的战略规划概念强调了其作为有序、系统管理的理性工具的作用-作为一种纪律的规范以产生基本的决定和行动，这些决定和行动塑造和指导组织是什么，它做了什么以及它为什么要这样做（Canning,1988）。在整个 20 世界 80-90 年代，就在规划越来越被高校广泛采用的同时，对于规划尤其是高等教育的批判性分析越来越多。战略规划倡议被贬为过于线性化，过于依赖可获得的硬资讯，创建复制的文书流程，过于形式化和结构化，忽视了组织环境和文化，以及阻碍创造性、积极的发展。尽管学术界对规划的优点存在分歧，甚至对战略规划的不用概念存在分歧，但到 20 世纪 90 年代末，战略规划在许多方面以及成为高等教育的主流（Dooris,2002）。

20 世纪 90 年代后期，进入 21 世纪，高等教育规划已经超越了对利基市场和竞争力的关注，而包含了诸如重新设计、商业转型和持续品质改进等理念（Rowley, 1997）。Rowley (1997) 将企业中常用的自上而下的战略规划过程转变为适合高校的参与性模式。他们关注的是相对于于竞争对手的竞争优势或"利基化"，并指出坚持"利基化"的困难。他们认为，私营企业和高等院校之间的区别在于，它们既不能控制在市场的利基地位，也不能像私营企业那样容易地操纵环境。一些学院和大学被授权解决一些问题，但却不考虑经济后果或他们自己的能力范围。他们的使命受到外部的影响，改变方向的决定并不完全在内部管理的控制之下。在 Rowley (1997)的另外一篇文章中，作者重申了行业分析模型的资讯，即高校不能在与广泛的社会隔离的情况下出色地运作。在这篇文章中，他们建议战略规划是至关重要的，每个学校如何在一个优秀的基础上做出战略选择，最重要的是所处环境(Thomas, 2000)。但是，作者并没有花太多时间讨论大学应该如何发展利基市场。他们的斩落规划决策与组织的关键绩效指标如何联系起来，他们严重依赖于 SWOT 分析。

关于哪个战略规划过程更好，在本研究中考虑到内部资源的分配问题，研究者将关注受访者的决策。

2.3 高等教育机构战略营销研究

在 20 世纪 70 年代之前，市场营销大多数院校来说几乎没有很重视，因为许多管理人员认为市场营销适合商业，但不适合高等教育机构。高等教育在采用和实施行销手段和技术方面进展缓慢。然而，营销的过程对高等教育来说并不新鲜。从卖方市场到买方市场的变化和却反正式的战略规划导致许多高校转向市场营销。高校之间生源竞争日趋激烈（Adler, 1998）。Kotler 和 Fox (1995)对高等教育市场营销的文献做了重要贡献。在他们的书《教育机构的营销战略》（2005年第二版）的序言中表明，第一版是一本不可或缺的手册。鉴于各级教育市场的变化，第二版的目标是进一步实现教育的目标。他们将市场营销的核心概念概括为（1）需求、欲望和要求；（2）交换；（3）机构回应；（4）提高营销活动效率。Hugstad (1975)也指出，并不是所有的的企业营销方法都应该转移到教育上。教育机构和企业之间有很多不同之处。缺乏教育精神、远见和道德会导致教育像利益驱动的方向发展。因此需要一个系统的营销战略来避免营销发展带来的负面影响。

2.4 高等教育营销战略研究

市场导向推动了大学的战略规划进程。根据 Canning (1988)企业战略反映了市场的现实，并以特殊性和理解来处理这些现实。市场研究的重要目标包括确定竞争对手的机构，学生如何比较一个机构的优势和劣势以及必要的改变，以改善自己的市场地位（Walters, 1994）。对客户行为和态度的理解分析有助于确定初级和二级市场，机构应该在哪里招生，以及它可能吸引哪些类型的学生（Bingham, 1996）。Kotler 和 Fox (1995)定义的一级市场作为一个机构随着时间的推移接收大量的申请者和注册者而二级市场的定义为机构在过去的几年中已收到源源不断的申请

者，但从中录取少量的学生入学（Hayes,2002）。

根据以上文献综述得出本研究的问题如下：

问题一：.全球化教育市场对高校的阻碍和制约是什么？为什么它们是障碍和约束？

问题三：如何有效预测外部环境的发展趋势，以建立国际招募的制度？

问题四：在跨国教育市场中，如何才能使战略不同，重新吸引？

问题五：在营销战略中将考虑一些协调措施和科学研究问题吗？

3. 研究方法

3.1 研究框架

图一为教育营销战略研究概念。本研究的框架模式是从 Kotler 和 Fox(1995)的《教育机构的战略营销》一书中开发的战略规划过程模型修改而来的。提供了背景和文献的主要概念的图示支持了这项研究。
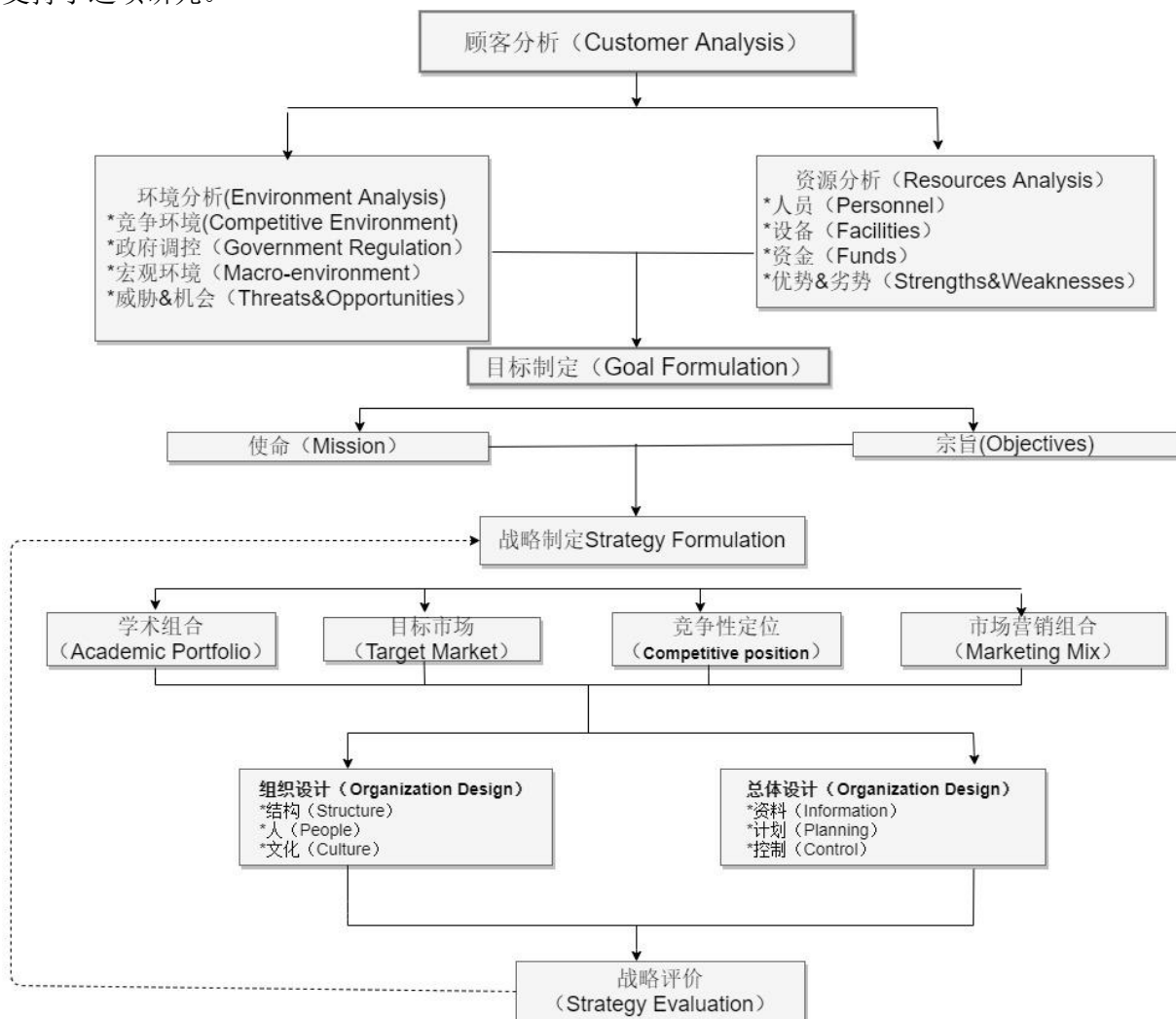
图 1 教育机构营销战略框架

3.2 研究方法

本研究的目的在探讨一种可行的营销战略，以供高等院校招生之用。鉴于研究的性质，将采用定性研究方法。教育中的定性案例研究通常以概念、模型和理论为框架(Merriam, 1998)。

Yin (1994)从研究过程的角度去定义案例研究"案例研究是一种实证研究，在现实生活的背景下调查当代现象。然而，Merriam (1998) 从其最终产品的角度定义了案例研究:"定性案例研究是对单个实例、现象或社会单元的集中的、整体的描述和分析。"

建构主义方法是基于认知心理学的一个子集的研究和社会心理学的一个子集的研究的结合，就像行为矫正技术是基于行为心理学的操作性条件反射理论。基本前提是，个体学习者必须主动"构建"知识和技能，资讯存在于这些构建的结构中，而不是外部环境中 (Huitt, 2003)。它提供了丰富的描述来更好地理解动态的模型。这使得结果可以更容易地传达给非研究人员 (Grotelueschen, Kenny & Cervero 1980)。因此，它是可评价的。

3.3 数据分析方法

3.3.1 访谈

访谈方法可以收集深入的信息并提高研究领域的知识，并进一步生成交互数据。根据 (Mason, 2002) 的观点，访谈具有探索性，可以产生各种角度和更深的知识来解决研究问题。根据此研究的目的和目标，将采用访谈作为研究方法以便发现其核心价值。访谈分为三种主要类型: 结构化访谈，半结构化访谈和结构化程度不同的非结构化访谈 (Finn et al. 2000)。本研究将采用半结构化访谈，可以通过采访方法来收集数据，该数据基于研究架构进一步从受访者的答案中提出后续问题。它不仅使受访者专注于研究问题，而且还提供了更多的发展思想的自由。

半结构化访谈旨在解决特定问题，但是此类准备好的问题旨在对无法事先计划的后续问题开放。访调员必须有机会利用后续问题寻求对已准备好的问题的澄清和阐述(Finn et al. 2000)。半结构化访谈可以更好地控制受访者围绕关键问题的能力，并提供灵活机会来获得数据。半结构化访谈的问题设计将基于文献综述，以开发框架来设计题目。 Creswell（2013）提出定性研究应包括研究主题的概念，并以与参与者学习相联系的方式使用文献。

4. 預期結果

本研究旨在拓展高等教育战略的理论与实践知识。对于泰国私立大学而言，本研究是对希望做到跨国教育领域学校的初步探讨。后期将对管理层进一步访谈，为了从中产生新的想法。本研究的需求是由缺乏基准来决定的。在教育服务领域，标杆管理战略很容易被复制。一旦该战略被学校采用，它将被其他学校复制、应用和改进。根据 Kotler(1995)实施有效的营销战略的潜在好处包括(1)更成功地完成机构的使命;(2)提高公众和市场对机构的满意度;(3)提高营销资源的吸引力;(4)提高营销活动的效率。

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The Role of Structure Awareness in Learning Chinese Script

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Abstract

The aim of the study was to examine the relationship between children's structure awareness of the Chinese script and their reading attainment. The investigation of the structure awareness was based upon a learning paradigm by Tsai, [1]. The measure of children's reading ability was based both upon teachers' grades and on standardized reading tests used in Taiwan. Two research questions were asked: (1) Do children use the structure of ideophonetic compounds to learn new characters? (2) Is there a relation between children's structure awareness and their reading achievement? There were 129 children, grades 1-3, from two primary schools in Hualien, participated in the study. It was found that the children learned the characters, which followed the structure of ideophonetic compounds significantly better than the ones which did not. These findings were independent of the response modes, writing or reading experiments, of visual complexity which had been controlled for, and were observed in all three grade levels. This result replicated the previous study [2] and extended to grade 1 children. For the relation between children's structure awareness and their reading attainment, there was no significant correlation, as measured by standardized tests. But there was a significant correlation between grade 1 children's knowledge of the structure and their literacy achievement, as measured by teachers' grades. It was concluded that children must have implicit knowledge of the structure of ideophonetic compounds when learning new characters. For beginners, perhaps this knowledge is helpful to advance to better learners of the Chinese script.

Keywords: Structure awareness, learning Chinese characters, reading attainment

1. Introduction

The aim of the study was to examine the relationship between children's awareness of the structure of the Chinese script and their reading attainment. The investigation of the structure awareness was based upon a learning paradigm. The measure of children's reading ability was base both upon classroom teacher's grades and on standardized reading tests used in Taiwan.

The investigation was focused on a type of Chinese characters, the ideophonetic compound characters (形聲字) which make up more than 80% of Chinese characters. In one ideophonetic compounds, two elements are identified: the semantic radical and the phonological component. The semantic radicals are located most likely at the top or left-side of the characters; the phonological components at the bottom of the right-side of the characters. The functions of the two elements are: the semantic radical provides meaning category for the characters; and the phonological components provide clues for pronunciation. For example, in the character 媽 /ma/ *mother*, the semantic radical 女 *female* indicates the meaning category for the character and the pronunciation of the whole character is derived from it's phonological component 馬 /ma/. Two research questions for the current study were:

(1) Do children use the structure of ideophonetic compounds to learn new characters?
(2) Is there a relation between children's awareness of the structure of ideophonetic

***compounds and their reading attainment*?**

2. Research method

2.1 Participants

The participants were 129 children from Hualien, Taiwan. They were from 2 local schools located in a middle-class neighborhood. They were in grades 1, 2, 3. There were 43 children in the first grade, 42 from the second grade and 44 from the third grade. The mean ages for each grade level were seven years and five months for grade 1, eight years for grade 2 and eight years and nine months for grade 3.

2.2 A learning paradigm

A specific learning paradigm was adopted. Several key constituents of the paradigm may be described as follows:

Pseudo-characters. The use of pseudo-characters ensured that the learning stimuli were novel to all the learners, thus providing the same baseline for each child. The use of novel characters also simulated the situation of learning new characters which children had never encountered before.

Sensible stimuli. The sensible stimuli provided linguistic information which was regular to the functional characteristics of the structure of ideophonetic characters. The meaning categories of the pseudo-characters were categorized by the semantic radicals and corresponded to the pictures. The pronunciations of the pseudo-characters were read from the phonological components by the principle of derivation.

Nonsensical stimuli. The nonsensical stimuli provided linguistic information which was irregular to the structure of ideophonetic compounds. The meaning categories of the pseudo-characters could not be categorized by their semantic radicals and were unrelated to the pictures. The pronunciation of the pseudo-characters could not be found from their phonological components.

Learning capacity. Across different age groups, children have different learning and memory capacities. The number of items to be presented varied across grade level. The principle was to avoid ceiling and floor effects. After the pilot testing, the appropriate number was decided to be 8 items for children in grade 1, 10 items for children in grade 2, and 12 items for children in grade 3. In the same pilot study, the visual processing time was found that 7 seconds for each learning item was sufficient.

Control for visual complexity. Two sets, A and B of pseudo-characters were created, in order to control for the visual complexity of the pseudo-characters. The same pseudo-characters that appeared as sensible items in one set became nonsensical in the other, and vice versa, as a result of changing the pictures and the pronunciations. If on both sets, sensible stimuli were learned better than nonsensical stimuli, then this difference should indicate how children make sense of the learning stimuli and learn the new characters.

Experimental context. As children are not familiar with the learning paradigm, an appropriate context was needed enabling learning to take place. Children were introduced to the experiment through a story with a fictional character, Tin Tin, who experienced an adventure in a remote part of China where he encountered unusual objects with unknown characters as their names.

Children were invited to take part in this adventure and challenged to learn these characters.

Modes of response. Two response modes were created: the writing and the reading experiments. In the learning phase, the children in the two tasks were shown identical stimuli. In the test phase, the children in the writing experiment were asked to write down the characters they had learned when shown the pictures and phonetic symbols. In the reading experiment, the children were shown the pictures with the whole set of characters and were asked to identify the character that corresponded to the picture and read it by writing phonetic symbols.

2.3 Standardized reading tests

The children were given '*The Battery of the Chinese of Pupils*' devised by Hung *et al* [3]. There were six subtests: (1) Select characters – Seeing (看詞選字); (2) Select characters – Listening (聽詞選字); (3) Write the characters with the help of Zhu-yin (看注音寫國字); (4) Dictation (聽寫); (5) Read aloud with the help of Zhu-yin (看字讀音); (6) Making phrases (看字造詞).

3. Results

3.1 Do children use the structure of ideophonetic compounds to learn new characters?

A scoring system was devised to code children's learning results. Separate scores were used for different aspects of the characters. For the writing experiment, one point was assigned for each correct component- a semantic radical or a phonological component. For the reading experiment, when children identified the character and indicated the pronunciation correctly, two points were gained. The results were reported separately as follows:

The writing experiment

Table 1 Proportion correct (SD) for each stimulus type, each set and grades 1-3, for the *writing* experiment

Stimulus Type	Mean (*SD*)		
	Grade 1	Grade 2	Grade 3
Set A			
Sensible	.33 (.33)	.32 (.21)	.60 (.24)
Nonsensical	.00 (.00)	.06 (.11)	.36 (.36)
Set B			
Sensible	.59 (.17)	.44 (.16)	.44 (.20)
Nonsensical	.14 (.16)	.01 (.03)	.15 (.18)

The proportion correct for sensible stimuli across sets A and B was between .32 and .60. For set A, children in grade 3 scored the highest, whereas for set B, grade 1 children performed the best. The proportion correct for nonsensical stimuli across sets A and B was between .00 and .36. This reveals that those learning items were very difficult for the children. A consistent pattern was found that scores for sensible materials were higher than nonsensical ones, this was true for both sets A and B, and for the children in all three grade levels.

In order to test whether the children learned sensible better than nonsensical stimuli, a mixed model ANOVA with type of stimulus (2: sensible vs. nonsensical, repeated measure), set (2: A and B) and grade (3: 1-3), as main effects was carried out. Because the scores stood for proportion correct, they were subjected to an arc-sine transformation, as recommended by Ferguson [4] before the ANOVA test.

Table 2 Analysis of variances of type of stimuli, set and grade, for the writing experiment

Sources	*Df*	*F*
Between subjects		
Set (S)	1	.39
Grade (G)	2	6.36**
Interaction		
S × G	2	7.04**
Within-group error	59	
Within subjects		
Type of stimuli (T)	1	174.37***
Interaction		
S × T	1	5.37*
G × T	2	2.08
S × G × T	2	0.53
Within-group error	59	

<u>Note.</u> Values enclosed in parentheses represent mean square errors.

* $\underline{p} < .05$ ** $\underline{p}$ $< .01$.   *** $\underline{p} < .001$.

The analysis produced a significant main effect of stimulus type and a significant effect of grade. Post Hoc tests by LSD showed that there was a significant difference between grade 1 and 3, I-J (mean difference) = .-10, p <.05, between grades 2 and 3, I-J (mean difference) = .-15, p <.01. There was no difference between grades 1 and 2. The effect of set, A vs. B, was found to be non-significant. The interactions between set and grade, set and type were significant.

The reading experiment

Table 3 Proportion correct (SD) for each stimulus type, each set and grades 1-3, for the *reading* experiment

Stimulus Type	**Mean (SD)**		
	Grade 1	Grade 2	Grade 3
Set A			
Sensible	.40 (.13)	.30 (.12)	.33 (.23)
Nonsensical	.27 (.16)	.16 (.10)	.14 (.22)
Set B			
Sensible	.35 (.24)	.26 (.07)	.49 (.08)
Nonsensical	.11 (.20)	.13 (.11)	.38 (.14)

The proportion correct for sensible stimuli across sets A and B was between .26 and .49. For set A, children in grade 1 performed the best, whereas for set B, grade 3 children scored the highest among the three grades. The proportion correct for nonsensical stimuli across sets A and B was between .11 and .38. Similar to the results for the writing experiment, the scores for the sensible materials were higher than nonsensical stimuli, this was true for both sets A and B, and for the children in all three grade levels.

Table 4 Analysis of variances of type of stimuli, set and grade, for the reading experiment

Sources	Df	F
Between subjects		
Set (S)	1	.26
Grade (G)	2	4.97**
Interaction		
S × G	2	8.87***
Within-group error	58	
Within subjects		
Type of stimuli (T)	1	51.64***
Interaction		
S × T	1	.02
G × T	2	.30
S × G × T	2	1.74
Within-group error	58	

<u>Note.</u> Values enclosed in parentheses represent mean square errors.

* p < .05   ** p < .01.   ***p < .001.

This analysis produced a significant main effect of stimulus type and a significant effect of grade. Post Hoc tests by LSD showed that there was a significant difference between grade 2 and 3, I-J (mean difference) = .-12, p <.01. There was no difference between grades 1 and 2, grades 1 and 3. The effect of set, A vs. B, was found to be non-significant. The interaction between set and grade was significant.

3.2   Is there a relation between children's awareness of the structure of ideophonetic compounds and their reading attainment?

The researcher first examined the correlation between children's learning of sensible characters and teacher's grades. The bivariate analysis was adopted. It was found that for grade 1 children, there was a significant correlation (Pearson's correlation coefficient = .36, p < .05) between their learning scores for the sensible characters and the grades their classroom teachers gave. Yet, this effect was non-significant for grade 2 (correlation coefficient= .12, p>.05), and for the grade 3 children (correlation coefficient = .21, p >.05). The second analysis was to examine the relationship between children's scores (T scores were used) on six standardized reading tests. See Tables below:

Table 5 Pearson's correlation between children's learning of sensible characters and various reading tests for grade 1

	Sensible characters
(1) Select characters – Seeing	.04
(2) Select characters – Listening	.05
(3) Write the characters with the help of Zhu-yin	-.07
(4) Dictation	.12
(5) Read aloud with the help of Zhu-yin	.13
(6) Making phrases	.23

For grade 1 children, there were no significant correlation between their learning of sensible characters and various reading tests.

Table 6 Pearson's correlation between children's learning of sensible characters and various reading tests for grade 2

	Sensible characters
(1) Select characters – Seeing	.06
(2) Select characters – Listening	.05
(3) Write the characters with the help of Zhu-yin	.27
(4) Dictation	.06
(5) Read aloud with the help of Zhu-yin	-.09
(6) Making phrases	-.23

For grade 2 children, there was any significant correlation between their learning scores for sensible characters and the six subtests of reading tests.

Table 7 Pearson's correlation between children's learning of sensible characters and various reading tests for grade 3

	Sensible characters
(1) Select characters – Seeing	-.09
(2) Select characters – Listening	-.26
(3) Write the characters with the help of Zhu-yin	.30*
(4) Dictation	.05
(5) Read aloud with the help of Zhu-yin	-.03
(6) Making phrases	-.04

$* p < .05$

For grade 3 children, there was a significant correlation between children's learning of sensible characters and their writing ability, as assessed by the test of 'write the character with the help of Zhu-yin'. Other correlations were not significant.

4. Discussion and conclusion

4.1 Do children use the structure of ideophonetic compounds to learn new characters?

The answer to the first question is YES. This was evident from the strong effect of sensible characters, which were regular to the structure of ideophonetic compounds, were learned significantly better than nonsensical ones, which violated the structure. It showed its significance at the .001 level. The results were independent of response modes, writing and reading, of the visual complexity of the stimuli and were observed across all three grade levels. The findings were robust considering they replicated the researcher's previous study [2], which was conducted in Taipei city with 160 children in grades 2-5. The results also extended the previous study to grade 1 children that without much instruction, children as young as first grade have already acquired an awareness of the main organization of the Chinese script. It was concluded that children must have implicit knowledge of the structure of ideophonetic compounds and they use this knowledge when learning new characters.

4.2 Is there a relation between children's awareness of the structure of ideophonetic compounds and their reading attainment?

The answer to the second question is less clear. It seems that for beginning readers, as grade 1 children in the current study, this knowledge was related to their literacy ability, as judged by their classroom teachers. Yet, this effect disappeared for grades 2 and 3 children. When various

standardized reading tests were used, there was no significant relation between their structure awareness and children's reading ability. There were several possibilities for this result.

First of all, the standardized reading tests might not be a good tool to assess children's reading abilities. The main purpose of the '*The Battery of the Chinese of Pupils*' [3] is to screen for those children who have reading difficulties, especially for grade 3. Also, across the six subtests, there are four tests which reach the ceiling effect at the first semester of the second grade. This might be a design fault to select these particular tests.

The current result was different from the study done by Ho *et al*., [5], where knowledge of semantic radical and phonological component were correlated significantly with Chinese word reading. In their study, knowledge of semantic radicals and phonological components were examined separately, whereas in the current study, it investigated the structure as a whole. Several studies also examined the semantic and phonological information individually [6] [7] [8] [9] [10] [11] [12] [13][14][15]. It might be the case that knowledge of the semantic radicals and phonological components develop at a different pace in children's literacy development. The knowledge of semantic radicals might be acquired earlier than phonological components, considering that there are more phonological components than semantic radicals (about 800 vs.200). Semantic radicals are also more regular in performing its function than the phonological components. When the current study tried to integrate children's knowledge of character structure as a whole, the effect of individual components were cancelled out which resulted in the non-significant correlations between character structure and their reading attainment.

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Development of Semantic Search for Local Tourism Website in Case of Southern Isan of Thailand and Northern of Cambodia

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Abstract

Today, tourism web data are growing every day and storing in relational database, Thai and Cambodian tourists use internet to find tourism information every day. Absolutely, the problem of information that not preferable what they are looking for with mess of data. Therefore, ontology plays an important role in semantic web search to solve the problem of tourist finding information. In this research, the main point is to adopt semantic web to the local tourism website allowing users to search information from web search engine to get relevant information. The method of development has the 6 modules as follow: (1) removing stop word from user query, (2) construction tourism ontology OWL model, (3) SPARQL query semantic related word with ontology, (4) converting relational database into RDF dataset, and (5) SPARQL query construction to query data from RDF dataset and (6) display result. Additionally, the propose approach supported the tourism information system which can search all necessary information from tourism domain such as locations, services, attractive places, activities…etc. Metric-based approach is used to evaluation ontology schema and knowledgebase. The result shown schema and knowledgebase design are preferable quality. The two systems searching show that system use only keyword to search information get a few relevant data with 12% and system use ontology keyword-based get more relevant information with 88% . It indicate that the system searching OWL model can help tourist to find information which they are looking for without waste of time and system better handling of data.

Keywords: Semantic Web, Ontology, Evaluation, Tourism.

1. Introduction

Thailand and Cambodia are neighbored country, have a long history together, culture relations and languages. Southern Isan of Thailand and Northern of Cambodia has a lot of attractive tourist places such as ancient temples, pagodas, mountains, beautiful resorts, hotels, culture...etc. Today, Thai and Cambodian people are crossing the border for doing business, learning and tours. Development of Information technology and communication has transformed landscape of society and tourism industry of both countries. For encouraging both people crossing the border for tours the web is becoming the most advantageous information for both Thai and Cambodian people looking for everyday where they want to find, visit and service needing. The information of web data stores in relational database and data is growing every day and searching information from web data face the problems of the user queries. Information present in the old web data are semi-structure, unstructured, hard to integrate and people not readable. User try to find information from the internet they face the problems are, first issue with keyword search in general, it's more of information which can impact the effectiveness of the search in terms of the quality of the search results and second is SQL provide keyword-based search but if words mismatch, the user cannot get relevant information from web data.

Semantic search tries to improve searching accuracy by understanding the context of terms and

user's intent. Semantic web is the web with meaning and computer can be readable and understanding. The W3C, Web Ontology Language (OWL) is a Semantic Web language designed to represent rich and complex knowledge about things, groups of things, and relations between things. The Semantic Web introduces the Resource Description Framework (RDF) is a standard model for data representation and interchange on the Web, and uses SPARQL as the query language for RDF data. Ontology is a formal explicit of a shared conceptualization of a domain interest. Concepts and relationships are basic of ontology component. Ontology has a capacity to solve many problems in tourism [5]. Implementation of semantic web search engine requires understanding of technologies such as OWL, RDF, SPARQL, JENA API and JAVA web technologies.

Yunzhi [13] and Ayepeh & Janruang [1] , semantic web is a semantic and keyword web based technique of information retrieval and relevant keyword matching. The development tourism ontology is based on tourism information of Lambok Island in Indonesia. The top-down approach is used to design ontology class hierarchy which related to often question of tourist such as kind of tourism, facilities and locations [12]. The ontology construction tourism in Africa, to the demand with 7 steps for ontology domain analysis, conceptual classification and ontology construction. The Classes design with the most very important information includes attractions, countries, services, cities and other concepts. Ontology construction contains 34 classes, 40 kinds of object properties, 22 data properties and a number of individual with large content of ontology [14]. The ontology of information for tourism development planning in Thailand comprised of 15 main classes such as natural resource, cultural attraction, road situations, local product, histories, legends, etc., [2].

In this research, semantic web search for local website is created and adopted ontology as keyword-based to establish tourism ontology that integrate with RDF dataset and SPARQL query language. System enables user to request information with significant and give benefit to user with joyful.

2. Research Objective

2.1. Develop tourism ontology as keyword-based for local tourism website
2.2. Develop semantic web search engine for support local tourism website
2.3. To evaluate the efficiency and effective of the system and ontology quality

3. Scope of Research

This research was conducted to develop tourism ontology domain as keyword-based for semantic web search engine to search information from local website (www.phimai-angkorwat.com) and this website cover tourism information of southern Isan of Thailand which includes provinces are Nakhonratchasima, Buriram, Surin, Sisaket, Ubonratchathani and Northern Cambodia which include provinces are Siemreap and Odomeachey. This region has a lot of tourism destinations, which will interest tourist from both countries and has many beautiful places for tourist.

4. System framework of the research project

This research aims to propose ontology-based, keyword-based information searching for local tourism website. The system have six modules are; (1) removing stop words, (2) developing tourism ontology, (3) calculating semantic similarity with ontology (SPARQL query related words), (4) converting RDB to RDF dataset , (5) writing SPARQL to query data (SPARQL query construction) with Jena API and (6) sending result to display. These modules shown in

figure 1.
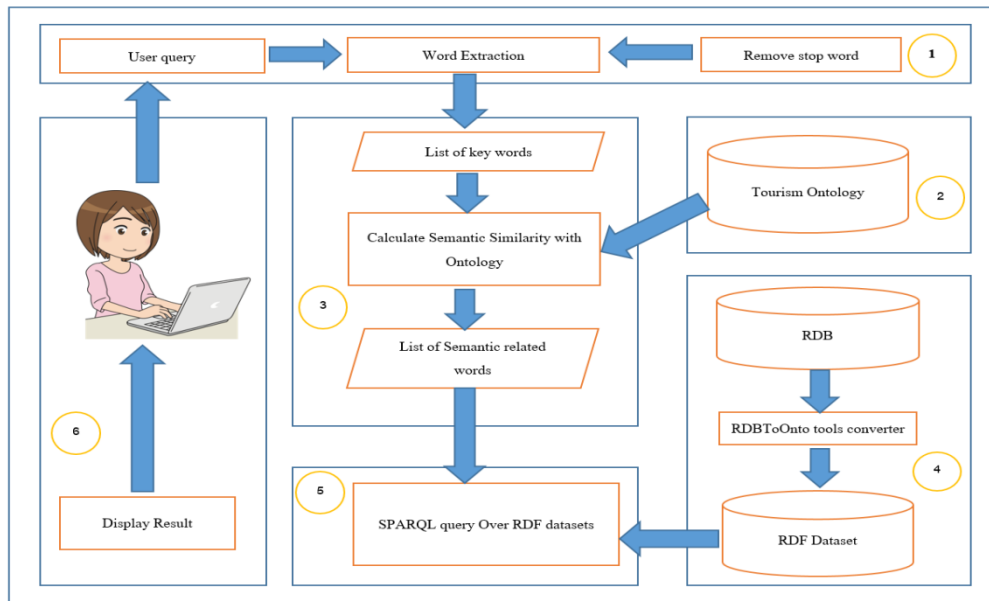
Figure 1 Proposed System Framework

5. Research Methodology

According to figure 1, proposed system implementation and evaluation, ontology construction and evaluation approach, tool, statistic report of ontology and system searching result, describe below are :

5.1 Removing stop word processing,

It is to remove the word that has no meaning in the sentence from user query. Stop word such as, a, and, so, what, how etc.

5.2 Tourism ontology development

According to Lee *et al*. [7]   and Staab & Studer [10], the difficulty of construction ontology domain is related to the complexity of the problem and the knowledge of the respective domain such as biology, geography, tourism..etc. For constuction of tourism ontology   domain, local tourism web site is used as the resoureces, the main classes include acommodation,shopping, event, attraction, transportation .. etc. Property define is isLocatedIn property, the property description is shown in Table 1. Each class comprised of sub-classes, their relationships were direct properties (Is-a) of the class. For example class of the "Attraction" class include: shopping, entertainment, market, world heritage, food etc.

Figure 2 Ontology main class

Table 2 Property description

No	Domain	Range	Description
isLocated In	Attraction, Shopping, Activity, Accomodation, and Event.	Destination	specify that Destination is belongin to Domain

Table 3 Total superclasses, subclasses and instances

Total Superclasses	Total Subclasses	Total Instances
8	45	60

5.3 5.3 Calculating Semantic Similarity (SPARQL query semantic related word)

Calculating semantic similarity is processed to finding related word in ontology. Example the word "Phimai" has related to word "Temple" and has related to word "World Heritage", and finding synonym of words.
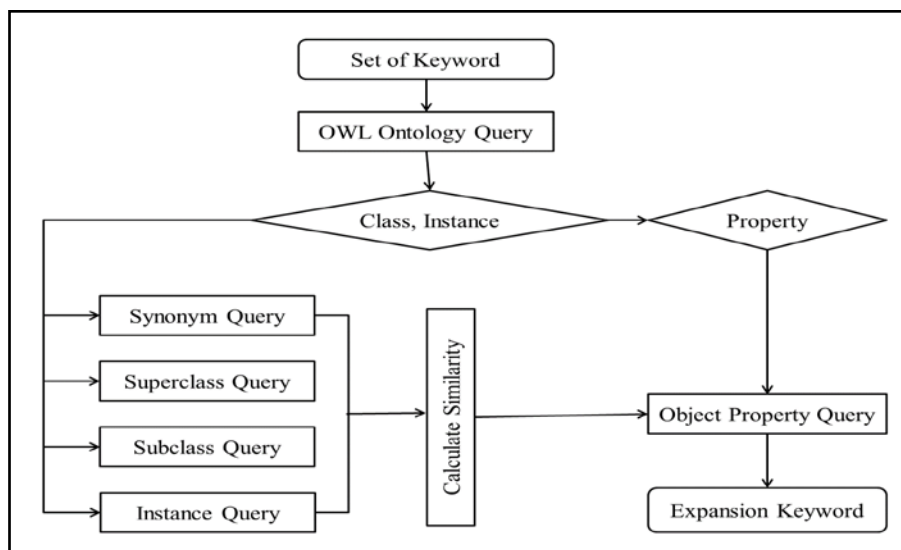
Figure 3 Keyword Expansion

According to Figure 3, Set of Keywords is a group of query words that are removed stop words. Synonym Query is process that program finds the words with the same meaning and connect with WordNet database dictionary. Superclass, Subclass and Instance query are process that program uses SPARQL to queries superclass, subclass and instance with keywords then return related words. Calculate Similarity is process that use SPARQL query language to find relationship between instance to subclass and superclass shown in figure 4. Object property query is used specific object property to query instances from ontology with specific two instances shown in figure 5. Expansion Keywords is process to compute or arrange group of words together. The results of SPARQL query semantic related word shown in table 3.

```
PREFIX xsd: <http://www.w3.org/2001/XMLSchema#>
SELECT DISTINCT? Class ?sub   ?instance
WHERE { ?Class rdfs:subClassOf ?Object. ?sub rdfs:subClassOf ?Class.
        ?instance rdf:type owl:NamedIndividual. ?instance rdf:type ?sub.
  (3)  FILTER (regex (str(?Class), "thailand", "i") || regex (str(?Class), "phimai", "i") )
  (4)  FILTER (regex (str(?sub), "thailand",  "i") || regex (str(?sub), "phimai", "i") )
  (5)  FILTER (regex (str(?instance), "thailand",  "i") || regex (str(?instance), "phimai", "i") ) }
```

Figure 4 SARQL Query semantic related word

```
PREFIX tour: <http://sarim.com/newisancambodia.owl#>
SELECT DISTINCT ?x
WHERE { (6) ?x tour:isLocatedIn tour:southern_isan (7) ?x tour:isLocatedIn tour:northern_cambodia }
```

Figure 5 Object property query with specific instance name

User enter text into searching box "I go to Phimai in Thailand". The process is shown below:

Table 4 Table sparql content query and WordNet

①	.Removing stop word	
1	Phimai, Thailand	
②	.Synonym words by WordNet	
2	Phimai	not found in WordNet database
3	Thailand	Thailand, Kingdom of Thailand, Siam
③	.SPARQL Superclass query	
4	Phimai	Not found because Phimai is an instance.
5	Thailand	Not found because Thailand is an instance.
④	.SPARQL Subclass query	
6	Phimai	Not found because Phimai is an instance.
7	Thailand	Not found because Thailand is an instance.
⑤	.SPARQL Instance query	
8	Phimai	world heritage, temple, Phimai
9	Thailand	destination, country, Thailand
⑥	.SPARQL southern_isan instance query	
10	Buriram, Nakhonratchasima, Sisaket, Surin, Muang Tum, Phanom Rung, Phanom Wan..etc.	
⑦	.SPARQL northern_cambodia instance query	
11	angkowat, bayon,odomeachey, Cambodia noodle, palm sugar…etc.	
⑧	.Expansion keywords	
12	Thailand, Kingdom of Thailand, Siam, world heritage, temple, Phimai, angkorwat, Buriram, Nakhonratchasima, Sisaket, Surin, Muang Tum, Phanom Rung ..etc.	

5.4 Converting Relational Database to RDF database

According to Ramathilagam & Valarmathi [9] identified a few mapping rules to conversion database schema to ontology schema by converting table to ontology class, column to data type property, primary key to functional data type property, and foreign key to object type property. Depending on mapping rules, a new table is designed by selecting, grouping and querying the only very important information into new tables for conversion to RDF dataset and follow the mapping rule. RDBToOnto tool allow generating ontology from relational database or transferring data from table format to RDF dataset format. In this project our database is MySQL Server. For converting MySQL data, the RDBToOnto tool require to input some information are Input Database, User, Password, Ontology File Name and Namespace.

5.5 SPARQL Query Construction

There are 4 processes to construct SPARQL query, (1) Set of keywords and set of RDF graphs (RDF is a collection of triples, each consisting of a subject, a predicate and an object, predicates is a property that connect subject with object), (2) Mapping keywords with RDF predicates, this process uses keyword to compare with value of object, (3) Convert Mapping to SPARQL query syntax is process that writing SPARQL query language to query data from RDF database and (4) SPARQL engine with JENA API will send result back to the user. User entered text into searching box "I go to visit Phimai in Thailand". The searching system will process as table 3.
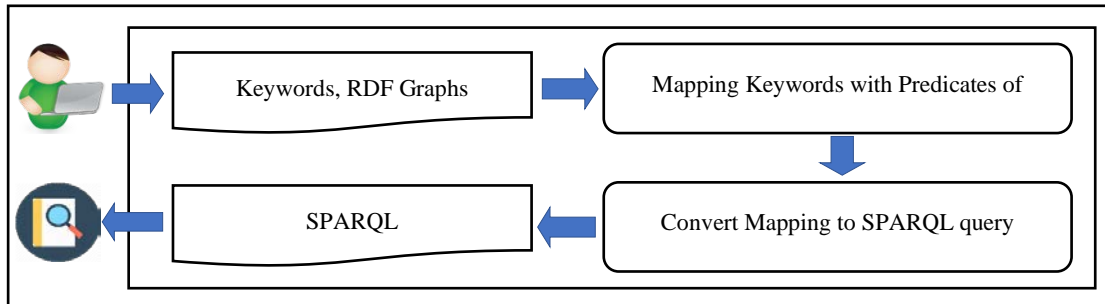
Figure 6 SPARQL query construction

5.6 Display result to the user by using SPARQL Query

The semantic related words (expansion keywords) are being sent to SPARQL query engine and JENA API to retrieve relevant information from RDF dataset. Java web application (java servlet, JSPs, and bootstrap) is developed to display result to the user. The search result shown in figure 8.
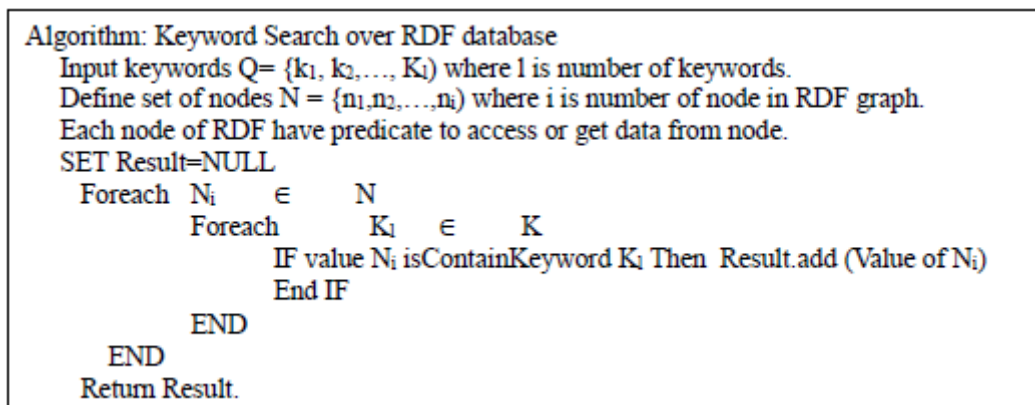
Figure 7 Algorithm Keyword Search over RDF database

6. Evaluation Methods, Tools and Result

6.1 Ontology evaluation approach and tool

According to Fahad et al., [3], ontology evaluation is the most potential part for developing new ontology for semantic web search engine. According to Gomez-Perez (2001), the goal of the evaluation process is to determine what the ontology defines correctly, does not define, or even defines incorrectly. There is an approach which used as the tools to evaluate ontology quality as bellow:

6.1.1 Metric-based approach

According to Tartir et al. [11] and Jain & Valerie [6], metric-based (feature-based) techniques to evaluate ontologies present a quantitative aspect of ontology quality. These techniques show different types of statistics about the knowledge presented in the ontology. These techniques consider the ontology schema graph and domain knowledge of ontology. The distribution of instances on the classes of the schema might also give specification on the quality of ontology.

6.1.2 Schema Metrics

It covers the ontology design. We cannot certainly know correctly the ontology domain knowledge design. The metrics specify the richness and inheritance of an ontology schema design. (1). Inheritance Richness (IR) is the average number of subclasses per class. It describes the classes place into the different levels of the ontology inheritance tree classes and differentiate of knowledges grouped into the different classes in ontology. The lowing value of IR present the ontology domain with detailed. A high value of IR specify the ontology represents a huge of general knowledge with a low level of detail. (2). Attribute Richness (AR) defined as the average number of attributes per class. It evaluates quality of ontology design and the number of information instances. More attributes present more knowledge in ontology. A high value of AR is more desirable.

6.1.3 Knowledgebase Metrics

The way data is placed within an ontology is also the most potential measure of ontology quality because it can specify the effectiveness of the ontology design and the amount of real-world knowledge represented by the ontology. (1) Average Population (AP) measure the total of instances compared to the total of classes. The average result present how data extraction process that performed to populate the knowledgebase. A lowing value specify, the instances extracted into the knowledgebase is insufficient to represent of knowledge in schema. Noting that some of the schema classes might have a little number or a very high number by the nature of what it is representing. (2) Class Richness (CR) compute the average of the total of classes contains instances with total classes in ontology classes. A lowing value of CR represent the ontology not have enough knowledgebase concept in the schema. A high value of CR represent the ontology have enough knowledgebase concept in the schema.

6.1.4 OntoMetrics ontology evaluation tool

OntoMetrics is online web tool use to validate ontology by displays with statistics report (https://ontometrics.informatik.uni-rostock.de/ontologymetrics).

6.2 System Evaluation

The system evaluation, focused on the result that system be able to find more result from RDF dataset. For evaluation system searching performance with relevant information from system. First system use only keywords without ontology to searching information, and second system use keyword combine ontology keyword-based to searching information.

6.3 Evaluation Results

In this section describe the result of the research with two parts, first ontology evaluation with statistic report and second system searching performance that show the different of searching by using keyword and ontology keyword-based search.

6.3.1 OntoMetric Ontology evaluation result

Table 5 OntoMetric evaluation statistic report

Inheritance Richness (IR)	Attribute Richness (AR)	Average Population (AP)	Class Richness (CR)
0.98	0.2	1.2	0.30

According to the table 4 show that, the lowing value of IR present the ontology domain with detailed. A high value of IR specify. More attributes present more knowledge in ontology. A high value of AR is more desirable. A lowing value of CR represent the ontology not have enough knowledgebase concept in the schema. A high value of CR represent the ontology have enough knowledgebase concept in the schema. A lowing value specify, the instances extracted into the knowledgebase is insufficient to represent of knowledge in schema. According to Pak & Zhou [8], it is not possible for only one approach to ontology evaluation to work well for applications context. Instead, the selection of an evaluation approach should examine many factors, domain in which the ontology to be used and the aspect of the ontology to be evaluated.

6.3.2 System Evaluation and Searching Result

The main interface of our system is shown by figure 8 below. By typing text or sentence " I go to Phimai in Thailand "into the search box , click search and system response result back to the users.
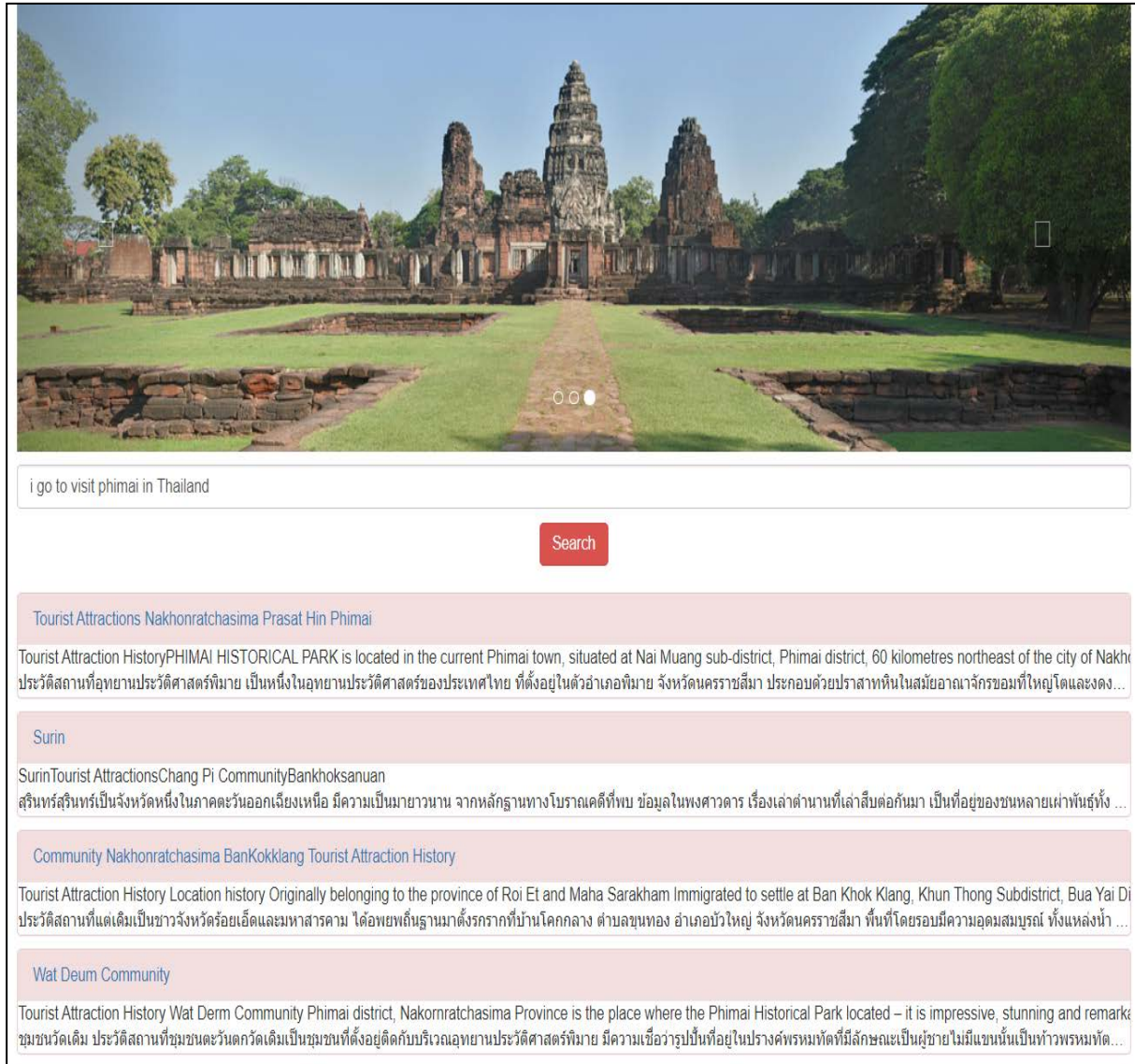
Figure 8 User interface and searching result

The system evaluation, focused on the result that system be able to find more result from RDF dataset. For evaluation system searching performance with relevant information from system. First system use only keywords without ontology to search information, and second system use keyword combine ontology keyword-based to search information.

Table 6 Keyword and user searching result

No	Only Keywords	Record Found	keyword with ontology	Record Found
1	surin	2 Links	surin	12 Links
2	Cambodia, Thailand	1 Links	Cambodia, Thailand	13 Links
3	Angkorwat	1 Links	Angkorwat	11 Links
4	Phimai	5 Links	Phimai	12 Links
5	Korat City	0 Links	Korat City	12 Links
6	Korat Zoo	0 Links	Korat Zoo	12 Links
7	Moeung Tam	0 Links	Moeung Tam	12 Links
8	Nakhonratchasima	6 Links	Nakhonratchasima	12 Links
9	siemreap	0 Links	siemreap	12 Links
10	buriram, province	1 Links	buriram, province	12 Links

Note. User query of ten sentences has removed stop words ready and the keyword is shown on table 5 above. These keywords will use to query information from two searching systems. You can see the process on Table 3 sparql content query and WordNet. The keywords of table 5 will use to combine with ontology keyword-based (expansion keyword) to search relevant information from the semantic web search engine system.
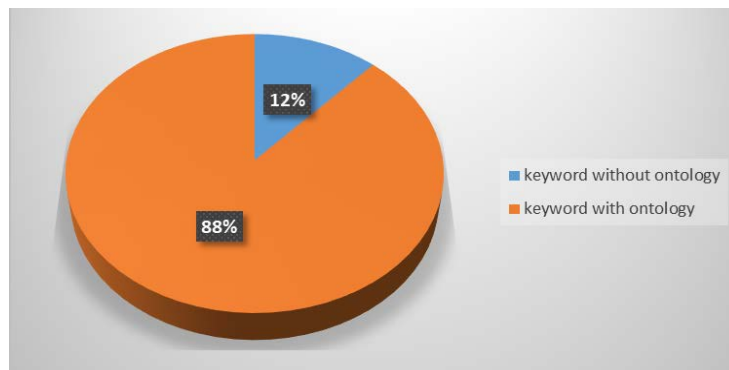
Figure 9 Searching result

According to table 5 and figure 9 above, the different result searching information between keyword and ontology keyword-based searching shown that Ontology keyword-based search can find much relevant information from RDF dataset. The searching system use only keyword to search information from web search get a few relevant information with 12%. The searching system use keyword combine with ontology keyword-based to search information from semantic web search engine get more relevant tourism information with 88%. It indicate that semantic web use ontology as keyword-based can get more searching relevant information and joyful.

7. Conclusion

This research presents a new semantic web search which used ontology tourism construction process, calculating semantic related word by using SPARQL to query semantic related word of superclass, subclass and instance in tourism ontology, object property query with two specific

instances and keyword expansion process. Also, keywords search over RDF dataset with SPARQL query language are applying to search the similar meaning of the words. According to evaluation, the proposed system can help to search the similar words on https://www.phimai-angkorwat.com/tour/frontend which consisted various local data of Southern Isan of Thailand and Northern of Cambodia. The proposed system based on semantic web technology and shows that user can specify the preference of needing of a vocation and get relevant sources of information from web such as culture, festival, activities, attraction places, shopping centers, accommodations and so on. For the future work construction of tourism ontology will add more classes, subclass, and instances and object property. Construction new algorithm for calculating semantic similarity word and keyword scoring algorithm. Use more approach or technique to valuate ontology for satisfying result.

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Spirits and Beliefs between Thai and Chinese culture

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Abstract

This research is a study of language and culture in order to create an understanding of thinking systems, beliefs and cultures of Thai and Chinese people. The objectives of the study were : 1) to classify and analyze the methods of naming ghosts in Thai and Chinese, 2) to study the "ghosts" in the belief between Thais and Chinese . This study is a documentary research. The results of the study were as follows : 1) The origin of the name of Thai ghost comes from myths, beliefs, or folk tales the most , in case of the structure of ghost names is divided into simple words, compound words, and exotic words, 2) Chinese ghosts name based on their appearance is the largest, the structure of Chinese ghost names is divided into simple words and compound words , 3) The analysis of beliefs about ghosts in Thai and Chinese cultures found 8 points : ghosts have divine power and are higher than humans; ghosts can be artificial blessings or harm people; ghosts must have shelter; ghosts must eat; ghosts can control human; ghosts are frightening; ghosts have classes; people can touch ghosts.

论泰国与中国在鬼信仰文化中的"鬼"

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摘要

本文在语言文化上进行分析研究，旨在让泰语和汉语系统的使用者能够对泰中两国的民间信仰和文化有所了解。目的：为了归类和分析泰语和汉语当中为鬼取名的方法；为了研究泰国人与中国人民间信仰当中的"鬼"，并研究类型属于描述性研究。研究发现泰国为鬼命名的方式当中，用故事传说中起名方式的鬼名字数量最多，从造词方面分析泰国鬼名字的结构发现，鬼名字组成结构分为单纯词、合成词、和舶来词。中国为鬼命名的方式当中，用外形特点起名方式的鬼名字数量最多。从造词方面分析中国鬼名字的结构发现，鬼名字组成结构分为单纯词、合成词。在分析中泰两国的"鬼信仰文化"时，发现8个同样的要素，即：鬼有神力，拥有人类没有的超能力；鬼可以造福于人，也可以祸害于人；鬼必须有安身之处；鬼必须吃东西；鬼能够控制人的行为；鬼的外形令人害怕；鬼分等级；人可以触碰鬼。

关键词：鬼；鬼名字；鬼信仰；中文；泰文

1. 前言

在对文化的研究方面，人类始终相信"鬼信仰文化"是各个地方人类最初期最系统、最完整的信仰。不论社会变化发展到什么程度都好，可以说"鬼信仰文化"存在于每一个人类文化里。这与 Chunlaket (1971) 提出的观点是一致的。他提到，尊崇鬼的信仰在世代人类的文化里是非常非常久远的事情了。从我们的远古祖先开始，那时还没有清晰的宗教概念，又或者鬼信仰文化比任何一个宗教更早存在于世界上。只是每一个人类群体可能存在于供奉和表现形式上的区别。

泰国与中国各自都有本国的文化特色。在过去，泰国与中国人民的生活都与农业息息相关，也共同拥有着鬼神信仰。这些信仰逐渐渗透发展成为现如今风俗生活文化里的一个部分。尽管时代已经发生了巨大的改变，包括在人们的观念、想法，物质发展、社会发展方面，但泰中两国社会及国民们依然会把鬼神信仰文化带入到本国风俗文化当中，并且这种风俗习惯会一直随着时代的变化而不断改变。

泰国人将鬼信仰的概念根植于心中，让人们知道自己的职责，懂得责任，以及促进道德文明。例如，哪家孩子不听从父母的教导将会遭到鬼的骚扰。至于不好好照顾孩子的父母亲，鬼将会把他们的孩子夺走。因此若不想让鬼来骚扰自己，我们就要做个好人，懂得善恶有源，相信"鬼护好人"的说法。除此之外，赖亚生（1993）还在提及中国鬼信仰时说道，"鬼文化"是古代的人们对人类死亡现象及相关问题的思考所带来的观念和行为。它大体由以信仰为核心的观念（如鬼魂观念、冥界观念）和仪式、风俗为表现形式的行为事象（如丧葬、疾鬼、驱鬼、招魂、鬼故事的讲述以及鬼事禁忌）构成一个整体。

语言是记录历史的工具，同时也有助于反映当地人民的一些想法、观念和风俗文化形式。泰中两国各自都有着鬼信仰文化，有着各种既有相同又有不同的称呼鬼的名字。因此，鬼名字的组成结构、鬼名字的由来、鬼名字的意思都能够告诉我们隐含的观点或是文化形式。例如"phǐ:/ta:/hê:k"，是指泰国供奉的一种农田鬼，反映出泰国人对于农业文化方面的一种鬼信仰文化。如"林鬼"指中国林野间的鬼，反映出中国人对于野外山林方面的一种鬼信仰。

由于泰中两国人民各自都有着鬼文化信仰，有很多鬼的名字，有着多种多样的语言和文化形式。这促使笔者对研究对比泰中两国人民语言和文化产生了浓厚的兴趣。研究结果将会看到泰中两国人民思考方法和观点系统，同时还能反映出泰中两国人民对于"鬼"在语言和文化上的相同点与不同点。

1.1 研究目的

1.为了研究泰国和中国民间文化为鬼取名字的方式并对这些鬼名进行分类和分析。

2.为了研究泰国和中国文化当中的"鬼信仰"文化，为了让泰语和汉语使用者能够对泰中两国的民间信仰和文化有所了解。

2. 相关文献综述

泰国皇家学术院词典（2542）对"鬼"一词解释到，人类把看不见但又可以现身的，有好有坏的，既能给人带来好处，又能害人的这种神秘东西称之为"鬼"。（例如，祖先鬼、家鬼、瘟疫鬼。）包括死去的人我们也称之为"鬼"。（僵尸是尚未火化的鬼，至于家鬼则是常驻于家中的鬼）

Phromkaew (2001)在提及鬼文化时说到，原始的鬼文化由来已久并且体现在各个时代的社

会中，因此也可以称之为"国际性信仰"或是"混合文化"。泰国南部佛教徒将"鬼"分为"高级鬼""中级鬼"和"低级鬼"。"低级鬼"都是地狱里的坏鬼和居住在自然界的野鬼。由于这个原因泰国南部的居民生活起居才出现了许许多多与鬼相关的"仪式"。

Boonmalert (25011) 研究发现泰国北部有 43 种鬼名字。当把这 43 种鬼名字按照意思归类后，可以分成 8 大类。即："行为""现身方式""性别""表现形式""依附地""死因""人类给予的东西""食物"。泰国北方人相信，"鬼信仰"不论是从家庭到社会都与他们的生活息息相关。

3. 研究方法

1.阅读中文泰语中归类型的文献，研究分类和分析意思类以及关于"鬼信仰"的资料，以便于寻找适合本论文的研究方向。

2.收集具有如下特点的材料。

2.1 汇集中文和泰语中关于"鬼信仰"的书籍、民间传说、传记、论文、文学作品，一共 13 本。

2.2 从收集到的中泰文文献中收集并汇总鬼名字。泰语鬼名字共 79 个，中文鬼名字共 40 个。

2.3 分析收集好的材料，笔者会按以下步骤进行研究：1.分析泰中两国文化中的泰中鬼名字；2.分析泰中两国文化中的"鬼信仰"文化。

4. 研究结果

笔者将研究成果分成 3 个部分，即 1. 分析泰中两国鬼名字的由来；2. 分析泰中两国鬼名字的造词结构；3. 分析泰中两国的鬼信仰文化。

4.1 分析泰中两国鬼名字的由来

分析方法和论证观点笔者借鉴改编自 Jin（1991）、Yodying (1976)、*Pongpaiboon* (1986)和 Wattanaset(1967)。

表一 列举泰国的鬼名字

鬼名字由来	鬼名字	数量	百分比
外形特点	ผีกองกอย(phǐ:/kɔ:ng/kɔ:i)、ผีสาว(phǐ:/sǎ:o)、ผีเด็ก(phǐ:/dè:k)	3	4%
地点	ผีสองนาง(phǐ:/sɔ̌:ng /na:ng)、ผีขุนน้ำ(phǐ:/khǔn/nám) 、ผีค้างพอน(phǐ:/káng/phɔ:n)、แม่ย่านาง(mê:/yâ:/na:ng)、ผีเรือน(phǐ:/rɯ:an)、พระภูมิ(phrá/phu:m)、นางตานี(na:ng/ta:/ni:)、ผีตาแฮก(phǐ:/ta:/hê:k)、ผีน้ำ(phǐ:/nám)、เทพารักษ์(the:/pha:/rák)、นางตะเคียน(na:ng/tà/khia:n)、ผีป่า(phǐ:/ pà:)、ผีป่าช้า(phǐ:/pà:/chá:)、ผีบ้าน(phǐ:/bâ:n) 、ผีเมือง (phǐ:/mɯ:ang) 、ผีโป่ง(phǐ:/pò:ng) 、ผีแดน(phǐ:/dɛ:n) 、ผีแขก(phǐ:/khè:k)	18	23%
死因	ผีผูกคอตาย(phǐ:/phù:k/khɔ:/ta:j)、ผีตายทั้งกลม(phǐ:/ta:j/thá:ng/klo:m)、ผีตายโหง(phǐ:/ta:j/hǒ:ng)、ผีตายฟ้าผ่า (phǐ:/ta:j/fá:/phà:)	4	5%
信仰	วิญญาณ(win/ja:n)、ผีฟ้า ผีแถน、(phǐ:/fâ:/phǐ:/thě:n) 、เปรต (prè:t) 、ผีนางธรณี (phǐ:/na:ng/tho/ra/ni:)、ผีปู่ตา (phǐ:/pù:/ta:)、ผีหลักเมือง (phǐ:/làk mɯ:ang)、ผีแม่หม้าย (phǐ:/mê: mâ:j)、นางกวัก(na:ng/kwàk)、ผีเหล็กษ์(phǐ:/má/hě:/sàk) 、ผีเจ้านาย(phǐ:/câo/na:j)、ผีวีรบุรุษ(phǐ:/wi:/rá/bù:/rùt) 、ผีเล็กผีน้อย(phǐ:/lék/phǐ:/nɔ́:j)、พระขพุงผี(phrá/khà/phung/phǐ:)、ผีเจ้าเสน(phǐ:/câo/sě:n)、ผีพ่อตา(phǐ:/phɔ̂:/ta:)、ผีนายหมูรูน(phǐ:/na:j/mǔ:n)、แม่โพสพ (mê:/pho:/sòb)、แม่ซื้อ(mê:/sɯ́:)	18	23%
故事与传说	ผีดิบ(phǐ:/dìb)、ผีกระหัง(phǐ:/ krà/hǎng)、ผีกระสือ(phǐ: /krà/sɯ̌:)、ผีปอบ(phǐ:/pɔ̀:b)、ผีโพรง(phǐ:/pho:ng)、ผีกะ(phǐ:/kà)、พราย(phra:j)、ผีห่า(phǐ:/hà:)、ยมทูต(jom/ma/thût)、ผีจะกละ(phǐ: /zà/klà)、ผีกำเนิด(phǐ:/gam/nɘ̀:t)、ผีเป้า(phǐ:/pâo)、กุมารทอง(ku /ma:n/thɔ:ng)、ผีไพร่(phǐ:/prâj) 、ผีนาย(phǐ:/na:j)、ปู่เจ้า(pù:/ zâo)、ผีไพร(phǐ:/praj)、ภูต(phû:t)、ผีโขมด(phǐ:/khà/mò:t)、ผีม้าบ้อง(phǐ:/má:/bɔ̂:ng)、ผีอี่ค้อย(phǐ:/ʔì:/khɔ́:i)	21	27%
血统与种族	ผีเชื้อ(phǐ:/chɯá:)、ผีบรรพบุรุษ(phǐ:/ban/phá/bù:/rùt)、ผีไทย(phǐ:/thaj)、ผีลาว(phǐ:/la:w)、ผีชิน(phǐ:/chin)、ผีดำ(phǐ:/dâm)、ผีครูหมอ(phǐ:/khru:/mɔ̌:)、ผีแม่หนุ้ย(phǐ:/mê:/nûj)、ผีมด(phǐ:/mót)、ผีบรรพบุรุษชาวเล(phǐ:/ban/phá/bù:/rùt/cha:w/le:)、ผีเมง(phǐ: me:ng)、ผีย่าหม้อนึ่ง(phǐ:/yâ:/mɔ̂:/nɯ̂:ng)	12	15%
舶来词	ผีชมบ (phǐ:/chá/mób)	1	1%
嚎叫声	ผีปกกะโหลัง (phǐ:/pǒk/kǎ/lô:ng)	1	1%
地点以及外形点	ผีโป่งค่าง (phǐ:/pong/kâ:ng)	1	1%
总共		79	100%

从表一可以看出，泰国的鬼名字来源主要有 9 个。其中数量最多的是以故事传说中的名字

为鬼命名。一共有 21 个鬼名字，占总数的 27%；其次是以信仰来给鬼命名，有 18 个鬼名字，占总数的 23%；以地点给鬼命名，有 18 个鬼名字，占总数的 23%；以血统与种族给鬼命名的共有 12 个鬼名字，占总数的 15%；以死因来给鬼命名的共有 4 个，占总数的 5%；以鬼的外形来命名的共有 3 个，占总数的 4%；数量最少的是以地点和鬼的外形来给鬼命名的数量是 1 个，占总数的 1%；和用舶来词命名的鬼名字，有 1 个，占总数的 1%；以及用鬼的嚎叫声来来命名的也是只有 1 个，占总数的 1%。总共 79 个鬼名字。

表二 列举中国的鬼名字

鬼名字由来	鬼名字	数量	百分比
外形特点	狐鬼、女鬼、猫鬼、大头鬼、空心鬼、长面鬼、无头鬼、猪头鬼、羊头鬼、高鬼、矮鬼 没下巴鬼、无颔鬼、赤发鬼、肥鬼、瘦鬼、小孩鬼	17	43%
地点	山鬼、林鬼、厕鬼、凶宅鬼	4	10%
死因	吊死鬼、产鬼、溺鬼、烧死鬼、死伤鬼、饿死鬼	6	15%
信仰	野鬼、家神、淫鬼	3	7%
故事传说	阎王、鬼妻、索命鬼、瘟鬼无常鬼、鬼王、钟馗、僵尸、鬼兵、鬼将军	10	25%
总共		40	100%

中国的鬼名字来源主要有 5 个。其中数量最多的是以外形特点为鬼命名。一共有 17 个鬼名字，占总数的 43%；其次是以故事传说来给鬼命名，有 10 个鬼名字，占总数的 25%；以死因给鬼命名，有 6 个鬼名字，占总数的 15%；以地点给鬼命名的共有 4 个鬼名字，占总数的 10%；数量最少的是以信仰来给鬼命名的数量是 3 个，占总数的 7%；总共 40 个鬼名字。

4.2 泰中两国鬼名字的造词结构。

从收集到的 79 个泰国鬼名字和 40 个中国鬼名字里，笔者将它们进行如下分类：

表三 泰中两国鬼名字的组词结构

语言	结构	数量	百分比
泰文	单纯词	3	4%
	合成词	72	91%
	舶来词	4	5%
总共		79	100%
中文	单纯词	1	3%
	合成词	39	97%
总共		40	100%

从表格 2 可以看出，泰国鬼名字的造词结构分成 2 部分，即用泰语造词和用柬埔寨语、巴蒂文、梵文舶来词造词。数量最多的是用泰语造词，总共有 75 个词，占总数的 95%。其中组合词共有 72 个，占总数的 91%；单纯词 3 个，占总数的 4%；其次是舶来词共 4 个，占总数的 5%。至于中国鬼名字的造词结构可分为 2 个部分，即用单纯词和组合词。单纯词只有 1 个，占总数的 3%；组合词一共 39 个，占总数的 97%。

5. 分析中泰国的鬼信仰文化。

5.1 分析泰国的鬼信仰文化。通过对泰语中关于"鬼"的文献分析得知，泰国的鬼信仰文化可以按如下进行分类：

5.1.1 鬼有神力，拥有人类没有的超能力，故事：女职员穿过了我的身体好像什么都没有发生一样! 当我顺着 她的方向望过去的时候，她的身体就慢慢的消失在空气里了 (Usagul, 2013: 17) 。

从以上的事例可以看出在泰国的鬼信仰文化里,他们认为鬼有着一种超越自然的神秘力量。鬼可以突然闪现， 又可以忽然消失，还可以变成与普通人不同的样子，还有的人认为鬼可以非常轻易的夺取人的性命。因此才说泰国的鬼信仰文化认为鬼有神力，拥有人类没有的超能力。

5.1.2 鬼可以造福于人，也可以祸害于人，故事 1：Phuang phet 阿姨说，我经常见到的那个穿白色衣服的女人，其实是 Nang kuak。这是一个野外的寺庙里的方丈大师 赠予 Phuang phet 阿姨丈夫的。Nang kuak 会保佑照顾着家里的每一个人（Usagul,2013: 13）。

从故事可以看出,泰国的鬼信仰文化认为，鬼可以给人带来好处。如保佑平安,给予运气、福气，保护家里的财产。但鬼也可以伤害人的身体和心灵，不管是直接伤害还是间接迫害。因此才说鬼可以造福于人，也可以祸害于人。

5.1.3 鬼必须有安身之处，故事：phĭ rɯːan 它并不是特指某种鬼或是某个人，其有可能是长期固定依附在柱子里的家中长辈过世后变成的鬼或是一些鬼怪（SoPrainoy,2000）。

从以上故事可以看出，泰国的鬼信仰认为，鬼需要依附在一个地方安身。比如神社、祠堂、家中的柱子等。如果是孤魂野鬼，这些灵魂将会依附在坟场里、出生地或是荒废的地方。因为人们相信，人死了灵魂也要有去的地方或是栖身的地方。如果遇到鬼献身作怪，有可能是鬼来祈求一个安身栖息的地方。由此分析得知，泰国鬼信仰文化认为鬼必须有安身之处。

5.1.4 鬼需要吃东西，故事：妈妈知道，或许是因为哥哥知道自己已经死了，他的魂魄回到家里。因为在哥哥去世之前直到死亡,他一整天都还没有吃东西,也许是饿了（Usagul, 2013: 37）。

从故事可以看出，泰国的鬼文化认为，鬼就像是人一样，不管好鬼坏鬼都得吃东西。一没有东西吃就会饿，正因为如此，人们才会拿食物供奉鬼。对于好鬼，人们就祈求保佑和照顾；至于坏鬼，人们就会祈求不来骚扰，免遭其罪。因此才归纳出泰国的鬼信仰文化认为鬼需要吃东西。

5.1.5 鬼可以控制人的行为，故事：警察告诉 Nian 阿姨一件奇怪的事情，他说坏人都已经被抓捕完了。众人听了都觉得很奇怪。警察还说，坏人们都纷纷跑来自首，凄惨声充满了整个警局。坏人们都说是 Da wan（死者）将他们扭送至警察局来自首的，如果他们不这么做就会将他们一个接一个的都杀死（Usagul,2013: 56）。

从故事可以看出，泰国的鬼信仰认为，鬼可以控制人的行为。包括什么事情不合适做，什么事情做错了就要承担责任。鬼可以说是控制人行为，让人们按照生活准则，遵纪守法，不给他人制造麻烦，安分守己过日子的一种工具。因此才说泰国鬼信仰文化认为鬼可以控制人的行为。

5.1.6 鬼长着令人害怕的样子，故事：长着清纯美丽脸庞的女生此刻脸皮正在腐烂，眼珠子正垂挂在胸口处。她的身体正在碎裂，血水、浓水正往外喷涌，身上的蛆虫也正在往外爬。这一切就在我的眼前发生（Usagul,,2013: 26）。

从故事可以看出，泰国的鬼信仰文化认为，大部分的鬼都具有不正常的外表，看起来非常恐怖。如腐烂肿胀的脸，惨白的脸，血盆大口，尖尖的牙齿等等。所有的一切汇合在一起，使得人们对鬼都充满了不好的印象。认为鬼是不吉利的东西，人们才非常害怕鬼。害怕鬼现身后会吓人，会祸害于己。因此泰国的鬼信仰文化才认为鬼长着令人害怕的样子。

5.1.7 鬼分等级，故事：天鬼或叫天神，人们相信它是神灵更胜于鬼。天神较一般的鬼要更加高级的。至于"天"是用来指代各种神灵的。最大的"天王"叫做"天神"，它可以为人类排除一切困难，给予人类帮助，尤其是可以保佑风调雨顺，为农民带去福音。因此在每年的雨季，人们都要为天神跳舞，直到它满意为止，它就会为人们带来雨水（**Khongphianthum,Hongsawan, & Songkro (2013**: 47）。

从故事可以看出，人们以人为标准从鬼的习性来为其分类。给人带来好处，保佑照顾人类的就分为高级鬼。不造福于人但也不祸害于人的鬼，分为中级鬼。至于祸害于人的鬼，人们分为低级鬼。由此才说，泰国的鬼信仰文化认为，鬼分等级。

5.1.8 人可以触碰鬼，故事：Zan 阿姨慢慢的伸手过来，从我手中接过钱，然后慢慢打开桌子的抽屉，再把零钱找给我。在那一瞬间，我的有接触到 Zan 阿姨的手。她的手异常冰冷，犹如冰块一般，并且她的手颜色惨白，白到发青，就像她的脸色一样。一刹那间我感觉到浑身冰冷，寒毛都竖起来了。那是一种说不出的非常奇怪的感觉（Usagul,,2013: 23）。

从故事可以看出，鬼也像人一样，有血有肉，可以触摸。鬼现身让人看见有可能是想要得到人类的帮助，请求供奉事物，亦或者是还在牵挂这某人某事。因此泰国的鬼信仰文化认为，人可以触碰鬼。

5.2 分析中国的鬼信仰文化。

经过对中国文献的分析研究，笔者将中国的鬼信仰文化分为以下 8 类：

5.2.1 鬼有神力，拥有人类没有的超能力，故事：次日天明，书生看见女主人将自己的头取下来，放在桌子上梳理。知道遇见了鬼。书生仓皇逃出，回头一看，大宅已经变成了坟墓（徐华龙，1994: 440）。

从故事可以看出，鬼具有神秘的超越自然的力量。可以变身成为美丽的女子去欺骗男人，可以用法力变化出美丽的画面，还可以轻易的夺取人的性命。因此中国鬼信仰文化认为，1.鬼有神力，拥有人类没有的超能力。

5.2.2 鬼可以造福于人，也可以祸害于人，故事：家神即家之先神，其神亦曰鬼，常居家中。烛溪湖胡家有群盗破门而入，见其家堂上有三四老人会饮，灯烛掩映，鼓吹不绝，热闹非凡。群贼见此景，惊甚，溜之。时此夜其家无人也，此会饮之老人皆其家之先神（徐华龙,1994：159）。

从故事可以看出，鬼既可以给人带去福音，也可以祸害于人。例如，帮忙照看财产，保护

家里人的安全。但同时鬼也可以祸害于人，不管是身体还是心灵。如造成家庭成员患病，长时间治疗都无法痊愈，或是现身吓人。因此中国的鬼信仰文化认为，鬼可以造福于人，也可以祸害于人。

5.2.3 鬼必须有安身之处，故事：民国十一年腊月十八日晚，一位五十开外的客人拜访苏州盛家浜的施家。客套过后，客人对施主人说，希望施家迁到别处去，这房子归他所有。施主人莫名其妙，拂袖而去。不久，施家全都生病。后庭邻居说施家的屋基下曾埋有棺材，定是鬼来争夺住宅（徐华龙, 1994：430）。

从故事可以看出，鬼需要一个处所做为安身之地。如人的身体、厕所、房子、地。如果是野鬼，其灵魂就要依附在坟场或是死亡的地方。因为人们相信，即便人死了，也要有一个地方可以去，在那里可以有安身之处。因此中国鬼信仰文化才认为鬼必须有安身之处。

5.2.4 鬼需要吃东西，故事：流传于海南黎族。指祖先鬼中最小的一种鬼，当它要找东西吃时，便溜进家里来作祟，使人肚子痛，或使孕妇难产，需杀鸡祭拜它来化解（徐华龙, 1994：586）。

从故事可以看出，每种类型的鬼都得吃东西。一旦饿得受不了了，鬼就会现身，或是做些什么事情让人类遭殃，如让人生病不舒服等方式来向人索取食物。因此人们才会向鬼供奉食物，对于好鬼就向它们祈求庇护和照顾，至于坏鬼则让它吃饱了不要来骚扰自己。所以中国的鬼信仰文化认为，鬼需要吃东西。

5.2.5 鬼可以控制人的行为，故事：此女鬼逼王一同悬梁自尽，王不知不觉跟着上吊，不死，却成疯癫，百治无效（徐华龙, 1994：162）。

从故事可以看出，鬼可以控制人的行为。包括鬼上身，使人昏厥后操控他，或是控制人的灵魂等等，人们因此而害怕鬼。由此可以推断，中国的鬼信仰文化认为鬼能够控制人的行为。

5.2.6 鬼长着令人害怕的样子，故事：半夜，活鬼现形，龇牙咧嘴，拖着长舌吓人，刘成吓昏（徐华龙, 1994：553）。

从故事可以看出，大部分的鬼都长着丑陋恐怖的样子。如龇牙咧嘴、伸着长长的舌头、血盆大口、脸色惨白、流血等等。人们才觉得，鬼是不吉利的，危险的东西。人们因此害怕鬼现身来恐吓或伤害自己。由此可以看出，中国鬼信仰文化认为，鬼长着令人害怕的样子。

5.2.7 鬼分等级，故事：鬼王是一种原始信仰，统指率鬼的头领。纳西族的东巴经中说，鬼王叫司命麻左固松麻，它统领世界上一切魔鬼（徐华龙, 1994：585）。

从故事可以看出，鬼的社会里有从低级鬼到最高级鬼，如普通鬼一直到鬼王。最高级的鬼掌控着每一个层次的鬼。说明在最开始的中国社会里人们就以中国社会为原型去建立鬼信仰文化，让人们认为鬼的社会就好像中国的社会一样是有阶级的。由此笔者认为，中国的鬼信仰文化觉得鬼也像人一样分等级。

5.2.8 人可以触碰鬼，故事：哥舒翰曾娶妾裴六娘，非常宠爱她。一次他出去游玩，几个月后才回来，而妾已病死，没有下葬，灵柩放堂上。晚上，舒翰悲叹睡不着觉，忽见一个夜叉进来，后面又跟着三鬼，他们猜测说床上贵人已睡着了，于是打开棺材，共同享用尸体。舒翰忍无可忍，就拿着竹竿，大叫一声"打鬼"。鬼大惊逃散，一鬼跑得慢，被打伤流血（徐华龙, 1994：123）。

从故事可以看出，即便是鬼有神力，超越于人，但若是遇见胆大敢于与鬼争斗的人也可能败给人。如将鬼打伤流血，使得鬼跪地求饶，或是将鬼杀死等等。由此看出中国文化着重强调

人的勇敢威猛。让人们知道，即使鬼很可怕，但如果人敢于面对鬼，敢与鬼做斗争终将战胜鬼。另外，以前的人喜欢用鬼来比喻成统治阶级，才用隐含的意思来鼓励人民大众勇敢的站起来去和最高的统治阶级做斗争并最终战胜他们。因此中国的鬼信仰文化认为，人可以触碰鬼。

6. 结语

通过对泰语的文献分析，笔者将泰国的鬼信仰文化分为 8 类，即：鬼有神力，拥有人类没有的超能力；鬼可以造福于人，也可以祸害于人；鬼必须有安身之处；鬼必须吃东西；鬼能够控制人的行为；鬼长着令人害怕的样子；鬼分等级；人可以触碰鬼。笔者认为，泰国的鬼信仰更重视"鬼必须有安身之处"，因为泰国文化与佛教文化紧密相关。佛教思想有提到说人要有来处也要有去的地方，人死了灵魂离开身体后也要有安身之处，否则灵魂将会流离失所，永远周游在人的世界里。至于泰国鬼文化不太注重的是"鬼分等级"和"人可以触碰鬼"。笔者认为，泰国的很多文献有提到鬼令人讨厌的、可怕的东西，但不太提及勇敢的人去和鬼抗争的事情。体现出泰国鬼文化强调鬼的可怕，令人畏惧，才不敢去与鬼抗争。

通过对中文的文献分析，笔者将中国的鬼信仰文化分为 8 类，即：鬼有神力，拥有人类没有的超能力；鬼可以造福于人，也可以祸害于人；鬼必须有安身之处；鬼必须吃东西；鬼能够控制人的行为；鬼长着令人害怕的样子；鬼分等级；人可以触碰鬼。笔者认为，中国的鬼信仰更重视"人可以触碰鬼"，因为中国文化常常拿鬼来比喻自己不喜欢的东西，因此才创作了许多人将鬼打败的故事。其实明明知道人并不可能战胜鬼，也不可能战胜比自己更厉害更有势力的人。至于中国鬼信仰不太注重的是"鬼必须有安身之处"，因为人们相信鬼想要何时现身，现身何处都可以，再加上中国的鬼大多数都不需要有安身之处。由于坏鬼并没有机会去投胎重获新生，因此多数鬼魂沦落人间，成为孤魂野鬼。另一方面中国的鬼信仰文化有给鬼分阶级，即小鬼、大鬼、鬼王。由此可以看出中国人认为人死了以后依然想在鬼的世界分阶级层次，就像中国封建阶级的高中低层次一样。

在研究泰国的鬼信仰文化时，笔者都有搜集到每一个相关的观点。反映出泰国文化长期以来牵绊着鬼信仰文化，这与 Thammawatra (1987)提出的观点是一致的。他的观点认为，泰国对鬼与鬼魂的信仰是泰国文化信仰的一部分，信仰鬼是泰国人在社会和心灵上的最原始的文化信仰。即便泰国人信奉佛教，但也信奉鬼，鬼因此在家庭、社会当中扮演着重要的角色。

在研究中国的鬼信仰文化时，笔者都有搜集到每一个观点，这与张劲松(1991) 提出的观点一致。他提出中国的鬼信仰有：祖先鬼和家鬼；物鬼；自然现象鬼；社会现象鬼；害人患病的鬼；野鬼；恶鬼、善鬼。

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Interpretation of the means of "matter" and "emptiness"in Prajnaparamita Hrdaya Sutra and Discussion on the perception determines the existence

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Abstract

The text of Prajnaparamita Hrdaya Sutra is simple, but the meaning of it appears extremely extensive and profound. It only uses four sentences, which are "emptiness is different from matter; matter isn't different from emptiness; emptiness is matter; matter is empty", the Dialectical view about "matter and emptiness" has been given the fullest expression. In order to further explore the true connotation of "matter" and "emptiness" and the true meaning of the "self-emptiness" or "emptiness essence "of all things in the universe, and further study the relationship between the perception and the existence, in this paper, the Tang Xuan Zang, translated version of Prajnaparamita Hrdaya Sutra, as the principal objective of current research, and other Buddhist texts and classics are consulted. Finally, this study confirms that the perception determines the existence is true and credible with the research methods of textual analysis, combined with the theory of natural science and Cognitive Neuroscience.

《般若菠萝蜜多心经》中"色"与"空"解读兼论感知决定存在

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摘要

《般若波罗蜜多心经》文简意繁，博大精深，仅用"空不异色，色不异空，空即是色，色即是空"短短四句便将佛教"色空"辩证统一的观点表述的淋漓尽致。为了进一步深入探讨"色与空"所蕴含的真正内涵及宇宙万物"自性空"或"空性"之真谛，以及感知和存在的关系，本研究以唐玄奘译简本《般若波罗蜜多心经》作为研究对象，并参照佛教其他经文典籍，用文本解读的方法，结合现代自然科学和认知科学的理论，证实感知决定存在的真实性和可信性。

关键词：心经；色与空；感知与存在；叠加态；认知媒介

1. 引言

《心经》全称《般若波罗蜜多心经》，梵文为 प्रज्ञापारमिताहृदयसूत्र，般若（प्रज्ञा）者，智慧也，但不是一般的凡夫智慧，而是以佛法为观而达到能证"我空法空"的超然智慧。这种智慧是超

越了有情的无上智慧。

《心经》并非佛陀所说之法，而是观自在菩萨所说。施护译广本《佛母般若波罗蜜多心经》则对说法的原因地点和人物都介绍地比较详细清晰。"如是我闻。一时世尊。在王舍城鹫峰山中。与大苾刍众千二百五十人俱。并诸菩萨摩诃萨众。而共围绕。尔时世尊。即入甚深光明宣说正法三摩地。时观自在菩萨摩诃萨在佛会中。 而此菩萨摩诃萨。已能修行甚深般若波罗蜜多。观见五蕴自性皆空。……，时观自在菩萨摩诃萨，告尊者舍利子言：汝今谛听为汝宣说……" 由此可知，是观自在菩萨在向舍利子分享修行般若波罗蜜多法门后的心得体会，因此，这次法会是观自在菩萨修行心得分享会。唐玄奘简本《般若波罗蜜多心经》只译了正宗分，即观自在菩萨修行的心得体会的内容。

"观自在菩萨"分享体会时，表述了修行"般若波罗蜜多"法门，照见"五蕴皆空"的体验，并详细叙说了"色"与"空"的相依相生的辩证统一哲理，揭示宇宙万物的本质是"自性空"，即"万法空性"。所以了解"色"与"空"的真实内涵及辩证关系，有助于我们探寻宇宙的本源，有助于我们破除"俗谛"和"我法二执"，不再执着于"色"，而真正从痛苦中解脱出来，过上幸福快乐的生活。

1. 文献综述

1.1 《心经》哲学认知方面的研究

王博医（2017）通过对《心经》的文本解读，阐释了佛教"空"的观念，并从形而上学、二元论以及因缘和合等角度，阐释了《心经》所表达的"空性"观念的真实含义和本源，并用"因缘"即"因果关系"阐述了真实世界本性为"空"的原因。并通过阐述"现世修行"的意义论证了佛教达到"究竟涅槃"的方法。牛尊（2016）指出通过用"真俗二谛"破"我法二执"的方法来辩证"般若性空"，即用俗谛义理堪破我执；以真谛堪破法执，从而阐证"色不异空，空不异色"，并指出，真俗二谛是辩证统一的，从而阐证了"色即是空，空即是色"的义理。赵庙祥（2008）、高永顺（2010）从认识论、本体论和人生价值三方面论证了佛教从个体禅修实践和其空虚寂静、主客和一的境界建构了其根本哲学，从"般若"认识论到"空"本体论再到"脱苦"人生论，则是佛教哲学的基本逻辑理路，并指出佛教以"慈悲观"为主的修行是解脱人生悲苦，得证"究竟涅槃"，实现人生价值的途径。

1.2 《心经》心理学方面的研究

罗俊（2015）通过对《心经》主要内容的文本解读，指出"五蕴皆空"能够使人获得积极的心境，放下内心的虚妄、欲望和杂念，从而才能获得幸福、快乐和爱等积极的情绪体验；了悟"苦集灭道"能使人获得积极的心理情感；而明白世间一切皆是"不增不减"的状态，能够使人获得仁爱与正义的积极人格品质；了悟了"究竟涅槃"的智慧，则会使人获得智慧与卓越的人格，以平常心对待身边的人和事，从而得证"心无挂碍"，使人能够获得勇敢的积极人格。

1.3 认知学研究

王志良（2011）在其专著《脑与认知科学概论》中详细研究了人脑的成以及人脑的工作原

理，并提出了人脑与人的意识和人的各种行为之间的关系，并详细叙述了人脑的感知、记忆、学习、思维和情感等各种认知模型的原理。李泽健（2010）在《我们是如何认识世界的》一文中指出，事物自身是不能说明自身的，只能通过"感知"的变化来认识别的事物，而这种也就是说人类也只能通过感知来认识世界。人类认识世界的方法和手段就是将自身的认知或感知与所观察的事物之间通过命名的方式建立一种对应关系，并通过这种对应关系来认知世界，并将认知经验综合成知识体系，用实证、自洽等方式来验证自己认知经验的正确性，从而形成科学的认知知识体系。

虽然研究《心经》的角度多种多样，但以上这些研究，缺乏结合现代自然科学和人类认知科学理论对《心经》研究，本文则通过文本解读结合现代自然科学和认知科学理论对"色空"的深层内涵及感知与存在的关系进行研究，以便让人们从多角度理解《心经》及"色"与"空"的真实内涵，从而了悟"般若智"，获得幸福、快乐生活的真实法则。

2. 研究目的

A. 探究《般若波罗蜜心经》中"色"与"空"概念的深层含义及辩证关系。

B. 在认知《般若波罗蜜多心经》"色"与"空"深层含义和辩证关系基础上，探讨感知与存在的关系，从而得出若无感知，则客观世界不存在，即感知决定存在观点是正确的。

3. 研究方法

以唐玄奘译简本《般若波罗蜜多心经》为研究对象，参照佛教其他各类经文典籍，对《般若波罗蜜多心经》中的"色"与"空"进行文本解读，以挖掘《般若波罗蜜多心经》"色"与"空"的深层含义及蕴含的哲理。并结合现代自然科学中的"叠加态"理论、以及认知科学理论，其揭示其中所揭示的"自性空"或"空性"的哲学理念加以印证；并浅显论述了感知决定存在真实性和可信性。

3.1 《心经》"色"与"空"文本解读

首先，我们应明了佛教所谓的"色"与"空"含义各为何。郭哲彰译《分别论》指出："如何为色耶？是四大种与四大种所造之色。是言为色。"。又云："如何为色耶？是眼处之积集、耳处之积集、鼻处之积集、舌处之积集、身处之积集，所馀之色更亦于心所生、心因、心等起者。是言为色。"。四大种指地、水、火、风四种要素。佛教所谓色，是指这四大种，及由这四大种所造化而成的能被眼、耳、鼻、舌、身及意识所感知的所有物。空者，西晋竺法护译《佛说弘道广显三昧经》云："云何为空？眼以色识、耳之声识、鼻而香识、口之味识、身所更识、心受法识。如诸情空，其忍亦空、过忍亦空、现忍亦空，如其忍空，众生亦空。何用为空？以欲为空，恚、怒、痴空，如众生空，颠倒亦空，欲垢起灭亦悉为空，作是智行，斯谓菩萨。行应不起法忍之者，其等众生已应向脱。"又如隋朝吉藏撰《维摩经义梳》云："又问以何为空。汝室以无物故空。十方佛土。宛然现故有。何得空耶。答曰以空空。上空。是空慧空也。下空。是前境空也。要当以空慧观之。然后一切空。非是无物然后空也。又问空何用空。法本自空。何用空慧空诸法耶。"由此可知，佛教讲的"空"分两种，一者上空，也就是慧空；二者下空，也即前景空。前景空就是

指眼、耳、鼻、舌、身、意不能感知的空，此为基础，由此证得慧空，即一切事物现象存在于面前，却不起分别心，犹如其不在，知其本性皆因分别心所起之妄念虚像。

《心经》中"观自在菩萨行深般若波罗蜜多时，照见五蕴皆空，度一切苦恶"。一句，不但讲了修行般若波罗蜜多法门的效果，而且暗含着修行方法。这种方法便是"止观"，止是止息一切妄念，若要止息一切妄念，就必须修"三摩地"，也就是"禅定"。而观就是要如实观察一切法，使用慧观，而非眼观，所以观又名照。如此修行便可达"般若"。《翻譯名義集》卷 4（CBETA 2019）云："止即是断。断通解脱。观即是智。智通般若。止观等者。名为捨相。捨相即是通于法身。起信论云。所言止者。谓止一切境界相。随顺奢摩他观义故所言观者。谓分别因缘生灭相。随顺毘鉢舍那观义故。永嘉集云。以奢摩他故。虽寂而常照。以毘婆舍那故。虽照而常寂。以优毕叉故非照而非寂。照而常寂故。说俗而即真。寂而常照故说真。而即俗。非寂而非照故。"这就是说，以"三摩地"的修行方式，结合"止观"的方法，即可破除"我法二执"证得"真俗二谛"了悟"五蕴皆空"。然何为五蕴？《佛說決定義經》（CBETA 2019）云："五蕴者，谓：色蕴、受蕴、想蕴、行蕴、识蕴。此等名为五蕴。"

色蕴指有情所处的此岸世界的种种事物和现象，是因"因缘和合"而生，皆为"如梦如幻"的虚幻世界，而有情则因"我法二执"认为此虚幻之相皆为实相，因此由色蕴而产生六处，即眼处、耳处、鼻处、舌处、身处、意处，六处则生六触，即眼触、耳触、鼻触、舌触、身触、意触，六触既生，受蕴则起。受蕴是指有情在此岸有相世界的感受，受蕴有三种，即苦受、乐受和舍受。舍受是不苦不乐的中性体验。有情多为苦受和乐受所困扰。既有苦乐之感受，爱恶则生，眼爱色、耳爱声、鼻爱香、舌爱味、身爱触、意爱分别法。有情则会因爱而"取法"生，取法者，想蕴也，即有情产生获得和占有的臆想和欲望；有情因想蕴而产生行蕴，行蕴就是有情产生各种以获得和占有为目的的各种行为。行蕴分三种，一者身行；二者语行；三者意行。身行就是依附于身体的各种行动或行为；语行是倚仗言辞争论的行为；意行是倚仗自心而生的贪嗔痴等行为。行蕴既生，便会引起识蕴而生，识蕴就是有情对此岸实相的辨识作用，识蕴有六种，即眼识、耳识、鼻识、舌识、身识、意识。而识蕴起则色蕴生，所以五蕴互为因果。

若要修证"五蕴皆空"，必先修行识蕴，即眼耳鼻舌身意五识。此五识不再起作用，则识蕴灭亡，识蕴灭则色蕴灭；色蕴灭则六处灭，六处灭则六触灭，六触灭则受蕴不生；受蕴灭则爱不生，爱不生则取法（获得和占有的欲望）不生，取不生则想蕴灭；想蕴灭则行蕴不生。如《佛說決定義經》（CBETA 2019）云："所谓：无明灭即行灭；行灭即识灭；识灭即名色灭；名色灭即六处灭；六处灭即触灭；触灭即受灭；受灭即爱灭；爱灭即取灭；取灭即有灭；有灭即生灭；生灭即老、死、忧悲、苦恼灭"。

"五蕴皆空"虽是说"色受想行识要皆空"，但"五蕴皆空"的根本是"识蕴"空，即修"眼识、耳识、鼻识、舌识、身识、意识"。此五识空，则五蕴空，五蕴空则二执、四谛、六处、六触、六尘、十二因缘、十八界皆空，人类则远离无明，远离颠倒幻梦，远离老死、恐怖、忧悲和苦恼，即达到"度一切苦厄"，了然自性空，达到究竟涅槃的境界。

那么"五蕴皆空"究竟是什么样的一种状态呢？观自在菩萨在接下来的修行分享中，描述了"五蕴皆空"状态，即是，"色不异空，空不异色，色即是空，空即是色，受想行识，亦复如是。"不异是无差别的意思。"色不异空，空不异色"，是说实相和空相是没有差别的。修得五蕴皆空后，此岸有情便不再起分别心，无分别心，则色相空，所以，修得五蕴皆空的状态，便可证得，

色和空是无差别的，同时，空和色也是无差别的，因为有情的五识已经不起作用，世间万物于我已无差别。从而证得世间万物自性皆空。

此外，佛家讲世间万物皆因缘和合而生，缘灭则色不生，空性依实相（色）而存，实相（色）灭则空性无依。因空性难以自现，必须以"色、受、想、行、识"所感知的形态呈现，此乃缘起性空。实相依存于空相，空相亦依存于实相，此乃"空即是色，色即是空"的道理。人类因陷于我执，陷于俗谛，未能了悟万法皆空性之根本，而有情六根生分别之法，心思错乱，故生虚妄之相，因此，人类便堕于五蕴循环之苦，执迷于老死之苦。

因空性为万法之本，一切实相（色）是不可言说之空性，即"自性空"；离开实相（色）而寻空性，于人类难以了悟，不可得。故人类便虚构言词以命名实相（色），是为"假名"，若不以虚构言词命名，则实相（色）便不可认知，实相（色）于人类也就不存在了。此亦乃为"空即是色，色即是空"。如《般若波羅蜜多心經註解》（CBETA 2019）云："色不异空空不异色。色即是空空即是色。受想行识亦复如是　色即四大幻色。空乃般若真空。众生由迷真空而受幻色。譬如水之成冰也。菩萨因修般若观慧照了幻色。即是真空。其犹融冰为水。然色之与空其体无殊。故曰色不异空空不异色。如冰不异水。水不异冰。复恐钝根众生不了犹存色空二见。故曰色即是空，空即是色。如冰即是水。水即是冰。若受若想若行若识。莫不皆然。此乃一经之要。般若之心也。"

3.2 《心经》"色"与"空"科学解读兼论感知决定存在

人类认识世界的各种实相（色）须依靠人类的感知系统，即眼耳鼻舌身；若人类没有了感知系统，或感知系统失去了感知能力，人类则不能够感知世界的实相（色），如此，世界各种实相对人来讲是不存在的，也即人类感知不到它的存在。

正如佛教讲，人类因难以了悟万法空性之真谛；而执着于我法二执，故五蕴产生虚妄之分别心，分别心起，则色蕴生。色蕴乃是五蕴之首，是人类堕于生老病死轮回之苦的根源，而色蕴是因六根而生，若要断除色蕴，必先断除六根，六根清净，则六尘不染。六根则以眼根为先。如《長阿含經》卷 13（CBETA 2019）云："入我法者，无如是事。但修圣戒，无染着心，内怀喜乐，目虽见色而不取相，眼不为色之所拘系，坚固寂然，无所贪着，亦无忧患，不漏诸恶，坚持戒品，善护眼根，耳、鼻、舌、身、意亦复如是。善御六触，护持调伏，令得安隐，犹如平地驾四马车，善调御者，执鞭持控，使不失辙，比丘如是，御六根马，安隐无失。彼有如是圣戒，得圣眼根，食知止足，亦不贪味，趣以养身，令无苦患而不贡高，调和其身，令故苦灭，新苦不生，有力无事，令身安乐。"

由此，六根生六尘，感知系统失去感知能力则六尘（存在）不能被感知，即为空。众生之所以能感知实相，是因为众生有"六根"，即眼、耳、鼻、舌、身、意。如果眼、耳、鼻、舌、身此五根不生，意根则无。六根皆断，则自证性空。也就是说，人类在主动屏蔽"六根"的感知能力的情况下，则六尘不生，自此便可以达到"五蕴皆空"的状态，这也是皈依佛教者要持"五戒、八戒、十戒"等的原因，因为修"持戒"法门实际上就是在主动屏蔽"六根"感知能力的过程。

正如王俊译（2017）的鲁道夫•施泰纳的《自由的哲学》中所说的："物理学家告诉我们，在我们听到声音的空间中，发生着空气的震动，并且我们发现，在其声源的物体上也呈现出各部位的震动。当我们拥有一个正常的耳朵构造是，就能将这种振动感知为声音。若缺乏这样的构

造，则整个世界对我们来说就变成永恒的静寂。生理学教会我们，有些人无法感知周遭华丽的色彩世界，他们的感知画面仅是不同程度的光亮、明暗。也有些人只对一种颜色盲视，比如红色。他们获得的感知画面中缺乏了这一色调，因此相对于普通人，他们所获得的实际上是另一幅感知画面。我想把感知画面对我观察位置的依赖性成为'数性的'，而把她对我够早的依赖性成为'执行的'。前者决定了我敢之所得的大小比例及相对距离，后者则决定了甘之所得的性质。我在一个红色的平面上看到了红色——这种对质的确定——取决于我眼睛的构造。" 这说明，客观存在是依赖于人类感知的，即使是同一种客观存在，在不同的感知主体中，所表现出来的感知客体也是不一样的。如红绿灯，在盲人看来，红绿灯是不存在的。而对于红绿色盲或者单一的红色色盲的人来讲，他们所看到的红绿灯也是不一样的。

从认知学上看，人类的认知方式如下图所示：
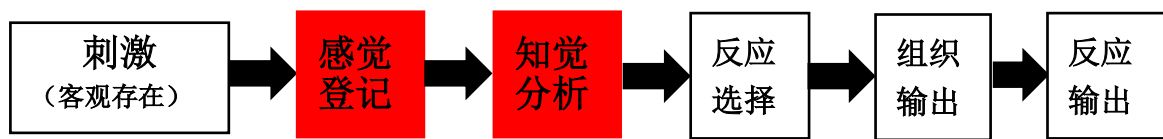
图一 人的感知模型（参考并修改自 Deutsch 的后期选择模型）

由人类感知客观世界的模型可知，客观存在物需要先经由人的感觉和知觉系统的感知和分析后，才能输入到上一层次，经过大脑的反应选择之后，才能进行组织输出，人类最后才能根据输出的信号或信息做出相应的反应。如果没有感觉和知觉系统，刺激（可观存在物）则无法到达人的大脑，也就无法进行反应选择，也就不会有后面的组织输出和反应输出，那么人对客观存在是无法感知和认知的，客观存在物对于人来说就是感觉不到的，也即不存在的。就像盲人感觉不到光和颜色的存在；聋人感觉不到声音存在；感觉神经受损的人没有触觉存在，如手脚麻木的人去抚摸东西的话，是感受不到所抚摸的东西的。

这也印证了佛教所讲的，若要修"般若波罗蜜"达到了悟"万法皆空性"的境界，就要修"修圣戒"，"御六根马"。"修圣戒"就是要持戒的意思，佛教持戒有持五戒、八戒、十戒之分，无论是五戒、八戒、十戒，都是为了能够断除"六根""六识"之妄念。从而获得"般若智"，已了悟"空性"之真谛，达到"寂静涅槃"之圆满。

3.3 世界是分层次的，已被感知的世界为"色"，未被感知的世界为"空"

我们所处的世界，根据人类个体的感知范围是可以被划分为四个层次的。
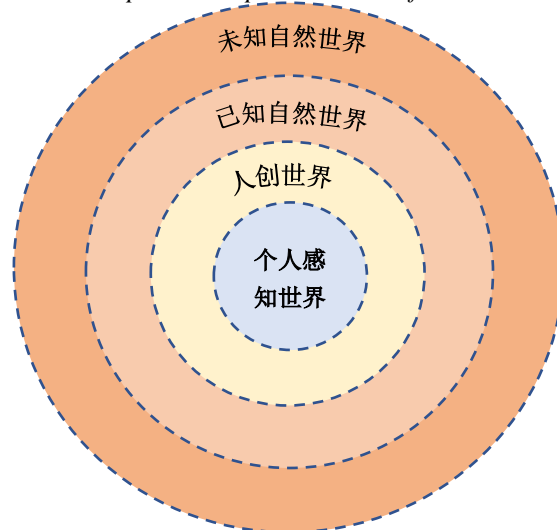
图二　世界层次划分（参考并修改自"尼古拉·哈特曼的世界层次理论"）

　　从上图看，世界可以被划分为：个体感知世界、人创世界、已知自然世界和未知自然世界。而划分世界层次的线条是虚线，说明各个层次的世界范围是会不断向外扩展的，并不是固定不变的。个体感知世界是人类个体感知到的自身周边世界，由于阅历、经验和知识水平不一样，个人感知世界的范围也大小不同。阅历、经验和知识较多的人，个人感知世界范围就广，反之，则狭窄。人创世界是指人类在认识自然规律的基础上，利用自然规律对自然世界加以改造而形成的世界。如汽车、座椅、房子、飞机、火车等等是人造世界的存在物，并非是自然世界本有的存在物。已知自然世界是指人类已经认知的自然世界；未知自然世界是指人类还未认知到的自然世界，如外太空，如黑洞内部等等。每一个层级的世界范围都不是固定不变的，随着人类的不断探索，其范围都是在不断向外扩展的。

　　人类认知世界的模式是以自身为中心和出发点不断向外拓展的。每个人的个人感知世界范围不同，处于个人感知世界范围内的实相（色），可以被感知到，因而此实相（色）表现为现实的存在，也即为佛家所说的"色"；处于个人感知世界之外的实相（色），是个体不能感知的，因而对于个体来讲该实体（色）在个人的感知世界中便不存在了，也即是佛家所谓的"空"。比如，在人创世界的范围内有诸多实相，是个人感知世界内不存在的，如人造肉，在诸多人的个人感知世界是不存在人造肉的，所以人造肉对于这类个体而言是不存在的。同样在已知自然世界中，有诸多实相（色）是超出个人感知范围的，如反质子、反中子、甚至暗物质和暗能量等等。这些已知的世界的存在，对于诸多个人感知世界是不存在的，那么这些实相（色）对于他们来说便是"空"。这些个体只有通过学习、增加阅历和经验等各种途径和方法扩大自己的感知世界范围，是指以前不在个人感知世界范围内的人创世界、已知自然世界内的实相"色"被纳入到个人感知世界的范围内，能够被个体以各种方式感知后，该"实相（色）"才从"不存在（空）"的状态变为存在。

　　同样，在未知自然世界里，由于目前人类或人类个体对其无法感知，甚至是一无所知，那么未知自然世界是什么样子的？什么颜色的？什么状态的？以及里面有何实相（色），人类或个体是不知道的，那么未知自然世界的实相（色）对人类或个体来讲就是虚无的，是不实得的，也就是佛教讲的"空"。而人类或个体对未知自然世界的存在，都是人类或个体倚仗"眼、耳、鼻、

舌、身"五根对个人感知世界的现有感知，转化成人类或个体"意"的感知，从而想象猜测出来的。

3.4 叠加态是"空不异色，色不异空，空即是色，色即是空"根源

对于人类的感知来讲，整个宇宙中的实相（色）是以叠加态的形式存在的。这种叠加态的存在形式表现为"有"和"无"两种状态的叠加。一个实相（色）的存在对于人的感知来讲就是"有"和"无"两种状态，当人类未能感知的时候，该实相（色）是以叠加态的形式存在的。即或"有"，或"无"，一旦人类或个体通过"眼耳鼻舌身意"等感知媒介感知到这一实相（色）时，这一实相（色）便以单一的"有"或"无"的状态存在。例如，我们也以"薛定谔的猫"为例，一个密封的盒子里装进一只猫，猫在盒子里不发出任何响声，问一个没有见过整个放猫过程的人，猫是否存在？那么猫对于这个人来讲有两种存在状态，即"有"或"无"，而这个人并不能明确判定猫是以哪种状态存在的。只有他通过自己的感知系统，感知到一些信息之后，他才能明确猫是以"有"或"无"的哪种单一状态存在。

这就是佛家所讲的"色不异空，空不异色，色即是空，空即是色"，"空"与"色"相叠加而存在，空依附于色，色依附于空。人类以"眼耳鼻舌身意"六根感知时，万物便以"有形实相（色）"的形式存在，而当人类修行"般若波罗蜜多"时，以"般若智"照观自身与宇宙时，万物便以"无形空相（空）"的形式存在。正如隋·吉藏撰的《维摩经义梳》中云："又问以何为空。汝室以无物故空。十方佛土。宛然现故有。何得空耶。答曰以空空。上空。是空慧空也。下空。是前境空也。要当以空慧观之。然后一切空。非是无物然后空也。又问空何用空。法本自空。何用空慧空诸法耶。答曰以无分别空法故空。法虽自空。必须空慧。若无空慧。则于我为有。用此无分别空慧。故得其空得其空即于我非有也。所以名无分别空慧者。无智之生也。起于分别。而诸法无相故。智无分别。故以无分别智。观诸法空也。摄大乘论。正以空智为无分别智。又问空可分别耶。自上已来。明前境空。此下已去。欲辨智空。体空之慧。乃不分别。故知诸法空。即此能观之慧。而体是有。可得分别耶。答曰分别亦空。此明空慧亦空也。若慧异于空。则是分别。以慧亦空。故无分别。所以云分别亦空。又问空当于何求。上因正观以明空。惑者谓。空义在正。不在于邪。故问空义之所在。以明邪正不二也。答曰当于六十二见中求。六十二见。即毕竟空。故就诸见。以明空所在也。又问六十二见当于何求。上泯邪正。今齐缚解。故问诸见当于何求。答曰当于诸佛解脱中求。诸佛解脱。即毕竟空故。与诸见不二。所以求诸见于解脱。又问诸佛解脱当于何求。此欲明众生与佛不二。故发斯问也。答曰当于一切众生心行中求。"。所以，佛教所谓的色与空，或曰存在与不存在，或曰有与无，并非是"无物然后空"。而是色（实相）与空是同时存在的，而我们只见色，不见空，是因为我们有分别心，这种分别心就来源于六识未灭，所以欲达到观诸法空相的境界，就要达到无分别空慧的状态，这种状态就是达到六根灭，六识不生，即主动屏蔽所有感知系统，使自己不起分别心。如果未能达到六根灭，则六识便生，人们便能通过六根，即感知系统感知到色（实相）的存在，且只能感知到色的单一存在的状态；一旦屏蔽感知系统，即六根灭，六根清净，则无分别心，那么色（实相）则灭，即以空的单一状态存在。

3.5 名称是人类认知客观存在的媒介，无名称人类无法认识客观存在，客观存在即为"空"

石里克在《普通认识论》一书中说："在日常生活中，知道一个东西无非就是意味着给它一

个恰当的名称。"（李步楼译 2005）（《普通认识论》 [德]M.石里克著李步楼译商务印书馆第 23 页）给人类或个体感知世界范围内的存在物命名是人类或个体认识世界的手段，而所命的名称就成了人类或个体认识世界的中介。如下图所示：
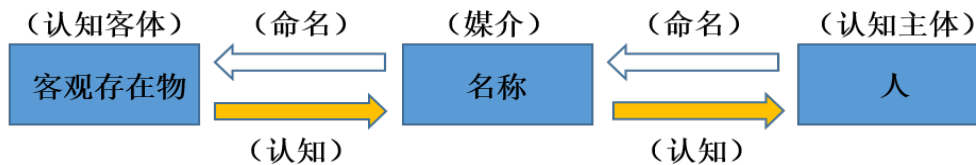
图三　人类认知可观存在物的媒介

　　由图可知，如果没有中间的名称存在，认知主体与认知客体之间便无法发生联系。也就是说，人类或个体不给世界万物（实相）及其各种性状命名，那么人类便无法认知这个世界，而世界万物如果离开了人类用主观创造的言词命的名称，该实相（色）也无法被人类或个体认知。这就是所谓的"万法皆空性"。世间存在是因人类起的名称而被认知，而起名是人类主观的行为，可以说世界是人类主观感知的世界。如果没有主观的命名行为，则人类便无法感知可观世界，那么客观世界也便不存在于人的感知系统中。所以人类是通过名称，将自己的认知或感知经验与事物之间建立了一个对应关系，并通过这种对应关系来感知世界的。

　　既然人类命名的行为，是根据自身 "六根"感知的经验，并以主观创造的言词来给实相（色）命名的，名称（佛教称为假名）分为两种，一种是泛指名称，一种是特指名称。泛指名称多是用来形容某些实相（色）共同的性状特点的。特指名称才是帮助人类认识具体事物的。如：液体，就是泛指名称；而啤酒就是特指名称。如果实相"色"离开了特指名称，人类是无法认知实相（色）的。比如，你帮我拿一杯液体。在这句话中用的是泛指名称，那么听话人头脑中是不会显现出具体实相（色）的，也就不知道究竟要拿什么东西。而如果说，你帮我拿一杯啤酒。这句话用的是特指名称，听话人会很清楚明了要拿的是什么东西。此外，人类所创造的各种形容词，如高、矮、胖、瘦、大、小、长、短等都是为描述事物性状而起的名称；而人类所创造的各种动词，如哭、喊、跑、跳、走等，都是人类为某一种动作命的名称。若事物的性状或动作没有这些名称来作为媒介，人类是无法表达和描述的。名称只是人类认知世界的一种媒介，由于宇宙"空性"的真性，所有的事物都必须依靠人类所命名的名称（佛教称为假名），才可被人类所感知、描述和言说。所以，若"无名称"则一切实相"色"便不可被感知，一切实相"色"便是"空"，此为"自性空"。因"空性"不可言说，不可名状，"色"可察觉，可描述。故人类之"六根""六识"见"色"而起分别心，便以主观虚构之言词命名实相"色"。此所谓，"色即是空，空即是色"。

　　如 《放光般若经》卷 18 云："佛告须菩提：名字者不真，假号为名，假号为五阴，假名为人、为男、为女，假名为五趣及有为、无为法，假名为须陀洹、斯陀含、阿那含、阿罗汉、辟支佛、三耶三佛。佛语须菩提：诸吾我造作之法及道，但为名字数法故。凡诸愚人缚着于有为法，是故菩萨行般若波罗蜜，以沤恕拘舍罗教授众生言：是名但从相起，但以相故生母人胞胎。所有者无端绪，所有者无所有，诸智者不入于空。"

　　又如《大般若波罗蜜多经》卷 487 云："若菩萨摩诃萨以一切智相应作意，大悲为首，用无所得而为方便，如实观察诸菩萨摩诃萨但有假名，菩提萨埵俱自性空不可得故；色乃至识但有假名，皆自性空不可得故；眼处乃至意处但有假名，皆自性空不可得故；色处乃至法处但有假

名，皆自性空不可得故；眼界乃至意界但有假名，皆自性空不可得故；色界乃至法界但有假名，皆自性空不可得故；眼识界乃至意识界但有假名，皆自性空不可得故；无明乃至老死但有假名，皆自性空不可得故；三十七菩提分法乃至十八佛不共法但有假名，皆自性空不可得故；内空乃至无性自性空但有假名，皆自性空不可得故；真如乃至实际但有假名，皆自性空不可得故；菩提佛陀但有假名，俱自性空不可得故" 又如明朝传灯著《维摩经无我梳》云："肇公曰。因背涅槃。故名吾我。以捨吾我。故名涅槃。二法相假。故有名字而生。本其自性。性无决定。故二俱空也。"

　　所以，如佛经所说，名字都是假象，是人类因堕于我执而迷乱心思，继而"六根"起分别之心，故以"假名"来区别实相"色"的行为。若没有"假名"，则人类则无法分别一切实相"色"，亦无法止观了悟"万法皆空"的体性。因而，人类则无法以修行"般若波罗蜜多"法门照观自证"空性"之真谛，已无法达到"寂静涅槃"之境界。

4. 研究结果

　　《心经》旨在开智人类以"慧观"之法，修行般若波罗蜜多法门，以证宇宙万物皆"空性"的本质。但《心经》并非"佛祖"所说，而是记录了"观自在菩萨"修行般若波罗蜜多法门后召开的分享心得体会的分享会的实况而已。

　　《心经》通过论述色与空的辩证关系，揭示了五蕴"色受想行识"与六根、六识相依相生的关系，色蕴为五蕴之首，色蕴的产生依靠的是"眼耳鼻舌身意"六根生六识，若六跟不生，则六识灭，六识灭则色蕴不生；色蕴既灭，则其余五蕴则灭。六根中则以前五根为重，前五根"眼耳鼻舌身"不生，则第六尘"意"灭，"意"根既灭，则"受想行识"灭。而 "空性"之体性无形无性，不可言说，亦不可得故，人类便虚构主观之言词，以名"空性"之体性，将之设施为色，以便可感知，可言说。此即"色不异空，空不异色，色即是空，空即是色"。

　　从科学上看，人类认识世界靠的是人的感知系统，即眼耳鼻舌身，若感知系统丧失了感知能力，世界各种实相（色）的存在，便不可被人感知到。对于人类来说，是感知不到世界各种实相（色）的存在的，即世界消失于人的认知中，也即"空"。

　　生理学上的感知模型也想我们展示了，若没有感知系统，则人的决策系统则无法判断客观存在物的各种性状，亦不能感知到客观存在物的存在。所以若无感觉系统，则世界存在不能被感知，对于人类来讲，客观存在便不再存在。

　　由于宇宙间万物皆以"有""无"两种不确定状态叠加存在，只要众生通过感知器官，即眼耳鼻舌身对其感知时，才会以单一确定状态存在，所以，若人不感知，则万物存在与否，对人类来讲是不确定的，这就说明了"六尘"不感知，则"五蕴"空的道理，也说明感知才能决定存在，至少使叠加态变为单一确定态。

　　对于人类个体而言，人类所处的宇宙是可以分为个人感知世界、人创世界、已知自然世界、未知自然世界四个层次的，且每个层次的范围会不断向外扩展。处于人类或个体感知世界范围内的存在，因能被人感知，对于人来说是存在的，且状态是单一明确的，而对于人类或个体感知世界范围外的存在，因未被人类或个体感知，所以其状态是不明确的，对于人类或个体来讲是不存在的，至少是不能确定其存在的。

人类认知世界还需依靠命名这个活动和名称这个媒介。人类是依靠着命名的名称来认知世界的。名称就像是人类与世界实相（色）之间的媒介。一旦丧失了名称这个媒介，人类便无法认知这个世界，世界对于人来讲也就不是真实的存在了。这即是佛家将的"空不异色，色不异空，空即是色，色即是空"的道理。

5. 总结讨论

本文用文本解读的方法，并以其他佛家经典作为参照，，结合自然科学和认知科学的理论，对《心经》色与空的意义进行深入解读，从而论证了《心经》所揭示的宇宙的本源是"空性"的。虽然这种解读方法，看起来有些偏向于个人感知主义或形而上学主义，但随着现代科学的发展，越来越多的科学发现，似乎都在指向和印证佛教所言说的"空性"是正确的。

诸如，四维空间的存在，人类处于三维空间，是无法感知四维空间的事物的。而佛家所讲的"究竟涅槃"，就是指肉身灭度后进入到毕竟空的真空性状态，而这种"究竟涅槃"是一种什么状态呢？按照广义相对论来说，E=mc2,能量和质量是对等的，究竟涅槃的状态，就是以一种能量的状态存在，这种能量既可以存在于三维世界，又可以存在四维世界，而进入四维的方法就是入"三摩地"法门。佛祖便以"三摩地"法门进入到了四维空间，因此看到了三维空间万物的过去、现在和未来，因此，佛祖才说"万法皆空"。而量子力学的发现，包括弦理论和超弦理论，甚至物质和反物质理论都证明了万物"自性皆空"的道理。

也许在未来，人类科技发展到一定程度时，可以到达四维或更高为空间后，就能了悟佛所说的"般若智"，抑或科技发展到一定程度时，人类认知范围可以扩大到几万亿光年之外的宇宙，能够来接暗物质和暗能量，甚至黑洞内部状态后，也许可以证明佛教的"空性"理论。

当然，本文观点表达了作者一家之观点和对《心经》的个人理解及体验，免不了有些偏颇和错误之处，还望专家批评指正，后被门生班门弄斧，贻笑大方之家。

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The Analysis of Japanese students in Learning Mandarin Tones

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Abstract

This article discusses the problems and difficulties of Japanese students in learning Mandarin tones. Research methods used are teacher's listening discrimination method and speaking test method. Use Praat to analyze pitch. In terms of tonal errors, the reason for the errors is discussed. The differences in the phonetic systems between Japanese and Chinese make it difficult for students to master the essential characteristics of the Chinese tonal system. Therefore, the importance of tonal teaching methods is paramount. So far most teaching methods are. teacher-centered and the student-centered method of Professor Zhang Zhen's somatically enhanced approach (SEA) has proven to be beneficial to the teaching of tones. Zhang (2006) research suggested a teaching method is which is body-centered. The steps of humming, clapping, rhythm, etc., enhance Japanese learners' perception of the rhythm of Chinese pronunciation, distinguish the 4 tones.

Keywords: Japanese mandarin learners, negative transformation, tonal errors, tonal teaching approaches

日本华语学习者的声调分析

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摘要

本文讨论日籍学生在学习华语声调的问题与困难。研究的方法使用教师听辨方法与口语测验法。本研究使用 Praat 语音软件研究语料的音高。藉由声调的偏误，探讨偏误发生的原因在于学习者的母语负迁引影响，日语与华语其声调相对音高的不同，使学生不容易掌握发声要领。为帮助学生达到更大学习效果，声调教学方法尤其重要，文中讨论传统教学方法(主要是以老师为主轴的教学方法)和以学生为中心的张篋教授肢体学习法 Somatically Enhanced Approach(S.E.A) 声调教学方法的好处，Zhang (2006)肢体教学法以身体为中心，教学之中采用哼声、拍手、节奏等步骤，增强日籍学习者对华语发音的节奏感知，分辨 4 个声调，并能使学生更掌握声调的诀窍，因而更有动力学习。

关键词： 日本学生、负迁移、声调偏误、声调教学法

1. 研究目的

赵元任(1980)认为学习外语要分发音、语法、词汇三部份，学习的次序也相同，其中发音最难，也是最重要的部分。冯南(2015)虽然中日语言的悠久历史渊源,但是在发音上有相当差异的。这也造成日本学生学习华语的困难之一。近来有许多科学实验研究方法研究日本学生发音偏误的情形,例如聂丹(2007)研究使用实用汉语水平认定考试语(C.TEST)语音部分测试结果来分析日本人汉语语音偏误,从其中的结果显示,声调偏误比声、韵母偏误问题更为突出。韩亚娟(2015)分析日本学生语调习得的实验,发现语料中陈述句与疑问句的偏误很相近,调域宽窄相差不多,最后语流中的第二声和第三声有相混的现象。因此说明教导日本学生时,有必要特别加深学习华语声调的重要性,由于研究发现日本学生普遍在特别单一的声调上,尤其在第二声和第三声出现较多的偏误,故本研究特别聚焦在三位受测的日本学生语料中,使用 Praat 语音软件研究其单音词和双音词的音高,探讨学生的偏误分布的结果是否也和其他研究结果类似,并藉由对比分析方法,探讨日本学生母语语调的特性与华语声调的差异,让华语老师了解这两语言发音的差异以及建议各种声调教学的方法,期望能让日本学生也能真正获得华语语音的语感和习得声调高低变化的特性。

1.1 研究问题

本研究要讨论二个面向:
A. 日本学生学习声调發生偏误的情形和原因有哪些?
B. 探讨教导日本学生华语声调教学的建议有哪些?

2. 文献探讨

2.1 学习华语声调的困难

声调偏误的发生与学习者的母语结构有很大的关系,Zhang (2006)指出英语为母语的学生声调偏误来自母语的干扰是主要原因之一。华语和英语之间的第一个显著差异是声调的领域。White（1981）认为的声调偏误来自英语学习者的英语语调中母语干扰的结果。还指出,在华语中,声调在每个音节上,而英语在句子的语调中。澎茹(2009)也提出母语为非声调语言的汉语声调偏误描写发生在日本以及美国学生为第二声和三声的混淆,将第二声发成的曲折调。相较于日语,日语本身也和英语有类似的情况,致使日本学生掌握每个音节声调高低的困难。

2.1.1 日语与华语声调的异同

聂丹(2007)根据朱川(1997)的研究,日语声调的音节内部没有升降变化,故日本人对汉语的阳、上、去三声的升降把握很难到位,特别是对阳平和上声的发音和听辨尤感困难。而当阳平和上声进人语流如双音节词中,其发音和听辨难度就更大了。从声调看日本学生容易出现的问题,汉语声调有高有低音程大且有曲折调及其变化,日语语音呈现出的是娓娓道来的舒缓平静,汉语则是在跌宕起伏变化中具动感的语流,日本人已经习惯了流水般无大波大折的日语语音当然较难适应听起来高低起伏变化各异的汉语声调。(赵丽君 2003) 。

聂丹(2007)指出日本学生在学华语声调比学发音还难，主要在词调上不容易掌握他的升降变化，更不容易表达正确的语调，特别在第三声的声调变调总是发不准，因此总免不了南腔北调的现象。日本学生学习华语声调的问题主要是在于日语是非声调的语音系统，在学习声调的过程中很容易受到母语的负迁移影响。在日本的语音特性中词汇的高低语调出现在重音不是如华语在单音节上。

陈庆华(2008) 指出日语的音调是由音的相对高低决定的。也就是，一个词因为音调的高低不同会产生不同的意义，如日语的 hashi 有筷子和桥的意思。他认为日本的东京话音调有三个特点第一、第一拍与第二拍的音高一定不一样。例如：第一拍高，第二拍低。第二、单词中只有一个升高点或下降，第三、单词和词组中下降的位置不同会导致单词的意思不同，也就是同声不同义。

<div align="center">表一 简易华语与日语声调的比较</div>

语言	声调类型	声调的特性
华语声调	字调 gē gé gě gè ge	一个字词有高低变化，声调以字为单位 例如:网络 wǎnglù
日语声调	词调 はし/边缘 (低高)VS 筷子(高低)	一个词只出现高低变化，中间没有复杂的起伏变化例如:华语的第三声和第二声。

姜晓红(2001) 指出日本留学生学习华语声调出现的偏误的原因，主要是在于两种语言的声调性质不同。日本发音的基本单位是音拍的高低位置。所以日本语又称为音拍语。日本留学生容易在华语双音节声调出现高低音配合的习惯，而华语的声调有变化性的。音高来看，日本学生常会发生在声调的起点，低音点和高音点的音高都出现都困难。姜晓红(2001)提到，赵元任认为外国人学生面临的困难在于难掌握相对应高，要让学生能掌握音高变化的幅度和动向就能学好。

综上所述，赵丽君(2003)日本留学生的语音偏误有两个原因:一是日语在汉语习得中的负迁移，原因有二，第一、汉日语音中有不同但也有相似的语音音素，彼此造成混淆，第二、语音风格面貌是以日语的整体风格特征是唇舌动作幅度小，音节短促，音调平和，这种根深蒂固的语言习惯在日本人学习汉语和英语等其他外语时往往成为莫大的障碍，这也是在来自世界不同国家的留学生中，日本留学生的汉语语音最难发得地道的根本原因之一。

2.2 华语声调教学法

华语声调教学法最广泛的应用在于叶德明(2010)谈到的赵元任「五度制调值分析法」，如下图一所示华语声调表现出来的高、低、长、短和音高的频率。四声调值:一声 55，二声 35，三声 214，四声 51。
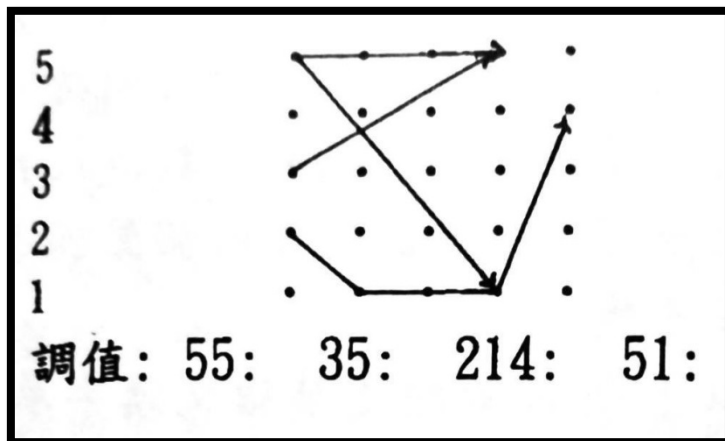
图一 五度制调值表示法 (取自叶德明(2010)，页 60)

朱川（1994）借助实验方法揭示超音质特征对汉日语作用的不同，总结出日语母语者学习汉语时的三个难点一是调值偏平，二是联词误读，三是轻声重读。教学方面，陈秋燕(2009)认为刚开始教学，就要学生了解华声调区别，让学生去对这个声调理解，声调练习当成一个语音教学的重点，再通过跟读然后标注这个语调的方法多多练习，就是用从单音节开始一一的练习声调，再进入到双音节的练习反复操练的方式让学生能够了解。

彭茹(2009)华语学生的洋腔洋调一直是华语老师的头疼问题，所以声调教学一直是研究的重点，除了介绍赵元任的五度标记图以外还需要增强学生的声调意识，就是在他们的语言中枢里建立一个声调的指令反应系统和接受系统。

声调习得偏误分析主要的原因有母语的干扰，其次当学生犯错时例如学生常常错误的发出一个音但是老师没有纠正，造成学生的说话偏误石化。负迁移学生过度的把一个声调发声的原则泛化，例如：念全上声。

2.2.1 丰富语音课程内容及延续中高级学生声调学习课程

陈庆华(2008)对华语教师的的建议是在上课的时候藉由游戏加强听辨的能力接由网络学习平台上传老师与学生的语音录音，学生可以重复的练习，让老师可以适时回馈，把声调难懂的语言课程发音课程转化为很有趣生动然后让学生容易吸收的课程。 第二，增加华语舆其他国家学生语音的对比分析，让教师们能够更清楚学生的困难 进而能够增强帮助学生克服困难 第三，编写适合中高级语音教材，通常华语语音的教学课程，在学生刚开始第一周至第二周之内就会教完所有的语音声母和韵母还有声调之后，就进入研读字汇与文法课程。也就是，学生尚未熟悉华语的声韵母和声调，就已进入其他阅读与书写的基础课程，如此容易让学生产生挫折感，无法引起学生继续学习华语的兴趣。

2.2.2 语音文化与学生心理因素

郭智辉(2010)语音系统包含其语言的民族文化和心理特点。以声调为例，虽然在华语和日语中声调都有作用，但是受日本独特的地理位置、历史发展过程等的影响造成著称的日本人其音调的变化比较缓和，类型也比较少，汉民族社会文化背景下形成的汉语则声调高、音域宽、起伏也比较大。语音不仅是一种语言现象，也是一种文化现象，在分析语音时，不能脱离使用这

一语言的区域、民族、国家乃至阶层。在第二语言的语音习得过程中，语音文化的不同也会影响学生的语音习得。杨晓莉(2009)认为日本学生普遍害怕错误因为普遍个性内敛，害怕错误，怕失面子导致日本学生有听力差，发音难的不利因素。有时课堂上没有及时的纠正学生的口语偏误造成石化现象，如澎茹(2009)提出学生会习惯说「老师 lǎoshì」，由于没有纠正他们，因为母语者都知道他指的是老师，而忽略了口语表达的错误。总之，学习外国语言等于也是学习外国文化，试想当我们学习外语，也要克服心理障碍，才能开口练习外语。华语教师除了考虑学生的原本学习方式与环境也要适时有效的纠正错误，设计课堂活动让学生以小组练习，带动学生并帮助学生更能在没有心理负担的情境下，更有效率学习。

Zhang(2006)实行肢体教学方法(Somatically-Enhanced Approach)简称(SEA)是一种透过身体感官系统耳朵手、眼睛、口腔声带将声调的律动带入大脑里面，全身沉浸到华语的语音节奏。使用的方法有六个步骤：第一 在老师的带领下，放松口腔声带。第二、用哼声断开句子。第三、用肢体，拍手。 第四、带动全身来当发出声调的同时，运用手势和踏脚比划四声调音高位置。第五、用耳朵聆听整句句子。第六、学生跟着老师大声重复念句子。这是以学生为主的教学方法，强调先由认知再进入实践过程，大脑熟悉了理解之后才能产生所学得的结果，是一种让学生感受到学习声调变化对自己是有意义的学习方法。

声调的教学方法有很多种，有认知分析调值和从单音节至双音节的跟读反复练习方法，除此以外，规划课程方面包含持续性专注声调全面的低、中高级课程也是必要的方法，再者也要考虑日本语音文化影响下的学生，其多数的学习特质，在设计课堂活动时，例如张箴(2006)的肢体教学方法实际可用于课堂上，让学习者能实际由身体到认知部分全部能体会抽象的声调变化，增强学习的动力与效果。

3. 研究方法

3.1 听辨分析法

本文除了采用文献研究分析法之外，也使用偏误分析法研究。Corder(1967)认为偏误分析的五个具体步骤和方法：1) 收集资料、2) 听辨偏误 3) 说明偏误、4) 解释偏误、5)评估偏误。

本研究方法的次序 1)收集数据采用实验测试语音法 Praat 语音软件调域分析法收集三位学生的语料，收集语料的方式是由学生回答问题说出一段句子找出偏误和针对偏误语词调域的分布。2)听辨分析由教师听辩口语测验方法:笔者听取录音档，找出错误的声调，说明评估偏误。

3.2 研究对象

语料收集来自以下的某大学语言中心的三位学生，其背景如下:

表二 三位学生学习华语背景表

學生編號	国籍	年纪	性别	学多久中文?	来台湾之前在哪学中文?	在台湾住多久了?	是否有华语文证书考试?	为什么学中文?
學生 1	日本	20	男	1.5 年	中国	1~6 个月	否	工作需要
學生 2	日本	20	女	2 年	中国	1~6 个月	否	喜欢台湾
學生 3	日本	20	男	2 年	日本	3 个月	否	回日本教华语

4. 研究结果

叶德明(2010)认为在语音的测试上，最具说服力是属于赵元任的五度制调值分析法)。这个分析法采用类似音乐的音高低音程标记，可以看出，声音的高低长短的范围 称之为「调域」。

叶德明(2010)指出华语母语者男士说话调域在 100 到 200 赫之(HZ)之间，女士通常是在 150 到 300 赫之(HZ)基本上华人的大概在这个范围之内。这次的三个学生发音的调域符合这项范围，学生 1 和学生 3 是男性范围在 100-200 赫之(HZ)之间，学生 2 符合女性范围在 200-300 赫之(HZ)。至于其他西方外国人说话的调域，是否有这样的规则特性，我们恐怕没有足够的语料来归纳，因此无法确切掌握。

4.1 第一声偏误

比较日本学生与母语者的第一声，学生 1 的一声起音相较于母语学习者太低了。

表三 第一声平均调域表

第一声平均	最大音高 HZ	最小音高 HZ	调域
学生 1	121.57	118.08	+3.49
学生 2	235.4	212.88	+22.52
学生 3	152.71	138.66	+14.05
平均	169.89	156.54	+13.35

表四 Zhang (2006)华语母语者(n=2)的第一声调平均表

Tone 1	Maximum F0(HZ)	Minimum F0 (HZ)	Pitch range for Tone1 (HZ)	Average mean F0 (HZ)	Maximum F0-average mean Fo(HZ)
NS 1	150.85	147.18	-3.67	128.88	21.97
NS 2	162.70	157.21	-5.49	145.14	17.56
Average	156.78	152.20	-4.58	137.01	19.77

4.2 第二声偏误

第二声，比较母语者发二声起点太低，上升至最高点也不够高，调域之间不够大。谭董妍

(2011)日本学生二声的偏误都是第三声，母語者的调值 35，但是日本學生調值为 324。

表五　第二声平均调域

第二声平均	最大 HZ	最小 HZ	调域
学生 1	127.57	125.76	+1.81
学生 2	227.36	203.06	+24.3
学生 3	134.83	132.3	+2.53
平均	163.25	153.71	+9.55

表六 Zhang (2006)华语母语者(n=2)的第二声调平均表

Tone2	Maximum F0(HZ)	Minimum F0 (HZ)	Pitch range for Tone 2 (HZ)	Average mean F0 (HZ)	Maximum Fo-average mean Fo(HZ)
NS 1	116.79	133.62	+16.82	128.88	+12.09
NS 2	125.24	150.83	+25.59	145.14	+19.9
Average	121.02	142.23	+21.21	137.01	+16

4.3 第三声偏误

发第三声单音节时，调域是下降而后上升，母语者的标准调值为 214，就是中高→低→上升。但是真实的发音是在会话，这是由很多双音节和三音节等组合而成的篇章，说话者通常只发第第三声的前段调值 21。第三声发声采取前段的起点和终点，也就是前半上声，测试者通常都是会有问题，发现三位学生的偏误多位前半上声调值 211。由于母语者通常发音发第三声，只有发前面的部分，比如说「好、有、手和脚等」，笔者自己念「我」和「你」的调域(如表 8)相较其他的其测试者调域的差值很大，日本学生发第三声时多无法降下来，发成类似第二声，意思就是其调域没有明显下降，反而上升。这符合了谭董妍(2011)第三声的偏误多为分别是第二声，还出现调值的偏误成为 212。

表七　第三声平均调域

第三声平均	最大 HZ	最小 HZ	调域
学生 1	120.02	114.62	-5.40
学生 2	216.33	219.30	+2.97
学生 3	133.83	143.30	+9.46
平均	156.73	159.07	+2.34

表八　母语者平均调域

第三声	最大 HZ	最小 HZ	调域
母语者	200.29	162.19	-38.1
母语者	180.50	164.81	-15.69
平均	190.39	163.49	-26.895

4.4 第四声偏误

声调起点过高，调域太宽，过份用力的发出，听起来有压迫感，喉咙可能受到过份挤压。学生 1 的第四声起点高度不够。

表九 第四声平均调域

第四声平均	最大 HZ	最小 HZ	调域
学生 1	142.51	114.1	-28.41
学生 2	219.48	200.37	-19.11
学生 3	198.35	119.11	-79.24
平均	186.78	144.53	-42.25

表十 Zhang (2006)华语母语者(n=2)的第四声调平均表

Tone4	Maximum F0(HZ)	Minimum F0 (HZ)	Pitch range for Tone 4 (HZ)	Average mean F0 (HZ)	Maximum Fo-average mean Fo(HZ)
NS 1	162.01	119.98	-42.03	128.88	-33.13
NS 2	160.49	127.31	-33.35	145.14	-15.35
Average	161.25	123.65	-37.69	137.01	-24.24

4.5 轻声

轻声的调值发生在双音节和三音节当中，而且是在句子里头，轻声会受到句子整个的语调影响，例如：爸爸，妈妈，单独念，轻声的调值不容易变化，比在句中的轻声的调值、调域和其他外在不定因素。也就是，变化性太大。所以这边轻声，就不单独研究。

表十一 三位学生的声调偏误分析表

学生	声调的总数 Total no. tones	Total Errors 偏误数	偏误百分比(%)	Tone 1 第一声偏误比例 (%)	Tone 2 第二声偏误 (%)	Tone 3 第三声偏误 (%)	Tone 4 第四声偏误 (%)
S1	681	50	7.34	26	18	36	20
S2	489	75	19.78	21.51	13.25	17.42	10.08
S3	383	64	16.710	16.67	21.43	28.57	4.44
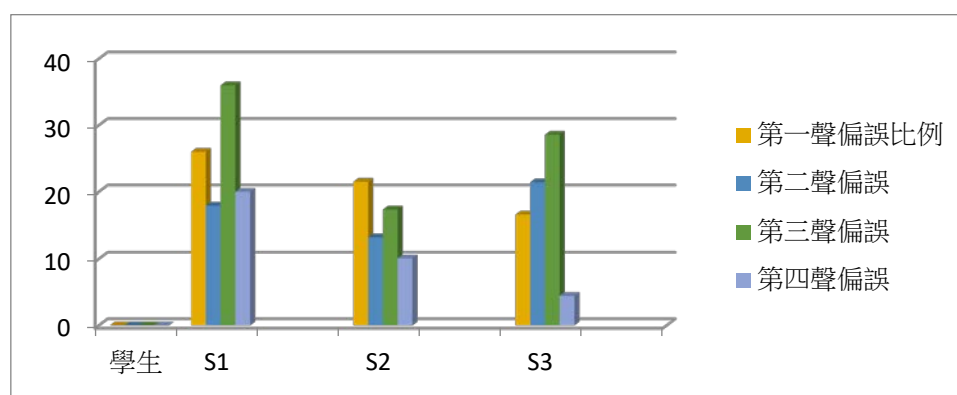
图二 3 个学生声调偏误比例图

第一位学生四声偏误出现率排列:第三声>第一声>第四声>第二声。

第二位学生四声的偏误出现率排列:第一声>第三声>第二声>第四声。

第三位学生四声的偏误出现率排列:第三声>第二声>第一声>第四声。

平均发生偏误的次序:第三声>第二声>第一声>第四声

由此可知，这三位同学测试的平均发生偏误的次序:第三声>第二声>第一声>第四声。如同大多数日本学生会出现第二声上不去，然后第四声的下不去，第三声下不来，第三声的变调，没控掌握很好，然后第四声的起点高度不够，强度也不够等等的现象。

由于表 10，了解日本人习惯华语的声调是有一定的难度，如果先判定学生的那个声调偏误比较多，才决定先教第几个声调的考虑，似乎没有这样的必要性，因为每个学生不同背景和语言程度，个别差异性很大。对话是由很多的语音形成，语言是动态式的，若只是针对那个声调有错误也加强该声调，效果可能有限。

4.6 双声词

陈秋燕 (2009) 对日本学生来说，第三声和第四声(3+4)开头的双音节词，为日本学生最难，比如说很热(3+4)，其次的三声后面加第三声的可以(3+3)，还有四声+四声发音为日本学生也是很困难。

日本学生语声调发音加以分析。可发现在双音节的各种组合形式中的第三声和第三声处于开头位置的读误率最高，而且没有变调，如 Praat 调域分析图。

4.7 学生一

1) 号码 (声调:第四声和第三声)
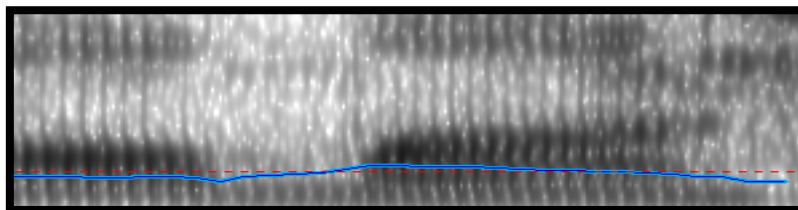
图三

2) 我喜欢 (声调:第三声、第三声和第一声) 双三声没变调
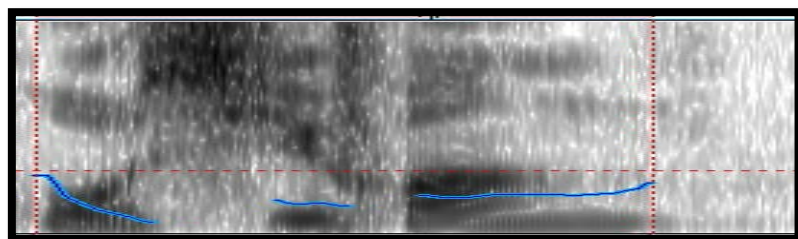
图四

3) 可以 (声调:第三声、第三声) 三声应该变调，但是没有往下走的趋势。
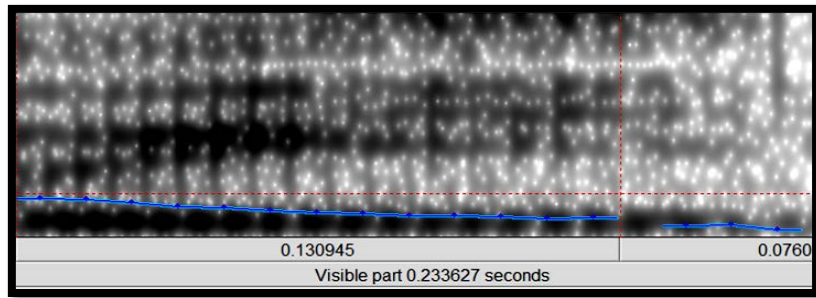
图五

4.8 学生二

1) 台湾(声调:第二声、第一声)
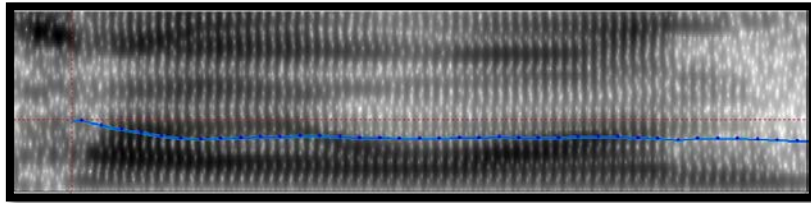
图六

2) 喜欢 (声调:第三声、第一声)
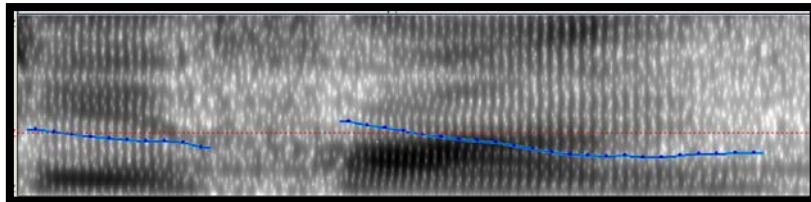
图七

3) 很远(声调:第三声、第三声) 双 3 声没有变调，第一个音也没有变调。
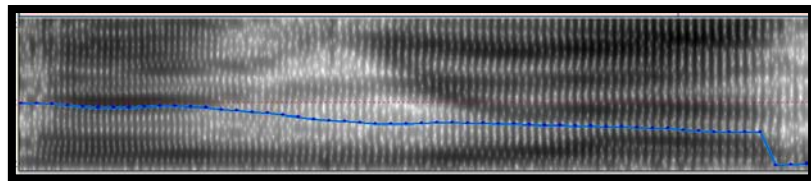
图八

4.9 学生三

1) 台湾(声调:第二声、第一声)
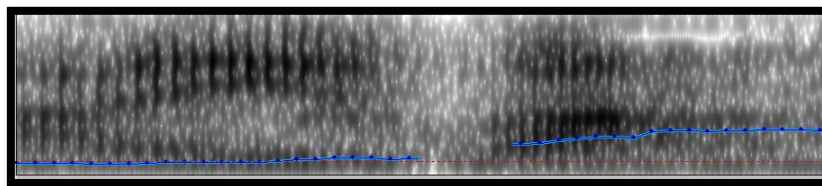
图九

2) 很热(声调:第三声、第四声)
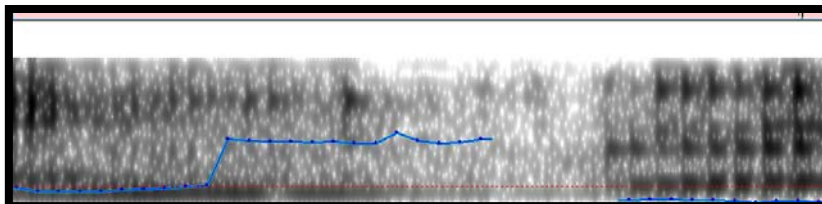
图十

3) 所以 (声调:第三声、第三声) 没有变调
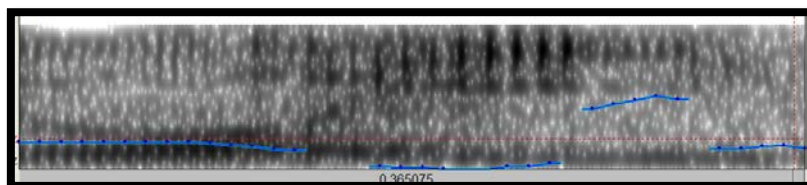
图十一

4) 喜欢 (声调:第三声、第一声)
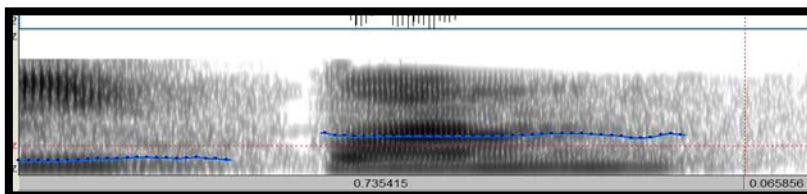
图十二

5. 结论

　　本文讨论日本学生学习华语声调普遍的困难，我们采用实验测试语音法和教师听辩口语测验方法分析三位日本学生声调偏误和使用 Praat 语音软件来分析四声的调域。结果显示三位日本学生的四声都受到母语的负迁移，母语词调和华语的声调规则异同，证明日本人学习华语声调确实不容易，如此，声调教学方法更显得重要，我们讨论很多操练和声调调值的教学方法，期望增强学生的学习效果，Zhang(2006）肢体教学方法(Somatically-Enhanced Approach)简称(SEA)提供一个新颖的方法，更丰富华语声调教学研究，两者相辅相成，定能使华语学习者更能掌握华语声调进而持续保有精进华语的动机。

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The Development of Thai Language Textbook
for non-Thai-language-majored Students in Beginning Level:
A Case Study of Chinese Students in Dhurakij Pundit University

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Abstract

Nowadays there are many foreign students studying in Thai universities, e.g., Dhurakij Pundit University, there are approximately 3,000 Chinese students. Thai language textbook is a very important tool to learn Thai language, thus this article is aimed at studying Thai language textbook for Chinese speakers and surveying 201 Chinese students in China-ASEAN international college, Dhurakij Pundit University who studied Thai language for foreigner course during the academic year 2018 for the way to develop Thai language textbook for non-Thai language majored students in beginning level. According to the study, it was found that 65% of students had studied Thai less than 1 month before coming to Thailand, they could barely speak Thai. The contents that they would like to study first are about four requisites, locations and road directions which are the most important to foreign students who are living in Thailand. In addition, the most suitable approach to teach this group of Chinese Students is to use phonetic approach instead of Thai alphabet.

Keywords: Thai language for foreigners' textbook; Thai textbook for beginners; Thai Language for Chinese students

非泰语专业外国学生的基础泰语教材发展之路——以博仁大学的中国学生为案例分析

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摘要

近几年来，泰国大学的外国学生的数量日益增高，如：泰国博仁大学，2019 年已有三千左右的中国学生。对外泰语教材是外国学生学习泰语的重要工具之一。本文主要研究中文版的对外泰语教材，并于 2018 学年对 201 个博仁大学东盟学院的中国学生进行了问卷调查。研究的主要目标是为了寻找非泰语专业外国学生的基础泰语教材的发展之路。调查结果显示，65.15 % 的学生有少于一个月的学习泰语的经验，泰语水平为基础等级。来泰留学之前，大部分中国学生对泰语方面没有充分的准备。学生想先学习的是关于衣食住行、场所与方向等对他们在泰生活最需要交流的内容。除此，该教材内容应先使用音标的教学方式。

关键词：对外泰语教材；基础泰语教材；中国学生的泰语教学

1. 引言

　　近几年来，泰国大学外国学生的数量日益增高，为了让中国学生能适应泰国的生活环境，泰国博仁大学开设了"KH160 外国人泰语沟通技能"课程。在教学的过程中发现一些问题如：教学方式、教学内容等不大适合已到泰国学习的非语言专业的学生。Sureewan Sathiansukon（2011，p.127）指出："中国学生在泰学泰语的问题如：学生的泰语基础不同。有些学生对适应泰国生活环境存在问题……教学当中还缺乏先进的教学媒体，适当的泰语教材。"虽然目前泰语教材的数量有所增加，但还不够符合学生的要求，而且教材版本还缺乏多样性。

　　为了改善中国学生使用的中文版泰语教材，本文以 5 本中文版本的基础对外泰语教材为主要的研究对象，加上对 201 个博仁大学-中国东盟国际学院的中国学生的调查结果，进行分析和提出建议。

2. 研究背景

　　泰国与国际之间的交流历史悠久，使得泰国文化和语言融入了许多外语及其文化。与此同时，在泰工作与生活或者长期要和泰国做生意及联络外籍人士需要学习泰语。虽然对外泰语教学的开端尚未确定，至今最早有记载的历史应该是清朝的暹罗管，但是我们可以猜测当时的学习对象应为使者、商人和传教人士等。1955 年联合语言学校（Union Language School）为新来的传教人士开设泰语课程。1962 年 AUA 英语学校为在泰的使者、商人和对泰语感兴趣的外国人开设了对外泰语课堂，用英语讲授和编写教材。在这段期间对外泰语教学是仅为专门人士开设。直到 1990 年泰国公立大学才纷纷开始为外国学生开设了泰语课。(Preeya, 2002, p.1-2)

　　随着对外泰语教学不断发展，对外泰语教材的数量也逐步增加，可大部分的对外泰语教材是英语版本。其中比较流行的书籍如：Benjawan Poomsan Becker.(1995).Thai for Beginners. Bangkok: Paiboon Poomsan Publishing。该书使用国际音标（IPA）来解释泰语语音。内容先介绍泰语语音的基本信息和声调，再介绍长和短元音。这样的顺序是比较适合以英语为母语的学者。近几年来，选择在泰国留学的中国学生数量日益增高，就泰国博仁大学而言，2019 年已有三千左右的中国学生，是一所拥有最多中国学生的泰国大学。为了让中国学生能适应泰国的生活环境，泰国博仁大学开设了"KH160 外国人泰语沟通技能"课程。由于英语母语者和汉语母语者的教学方法不同，使用英语版本的对外泰语教材来教中国学生有些不太合适，所以博仁大学的讲师们使用了中文版本的泰语教材。博仁大学大部分的中国学生来泰国学习的目的是学习其他专业知识，而非专门学习泰语专业。但是市场上大部分的中文版的对外泰语教材难度较高，不适合以泰语为副修的学者使用。为了让这些零基础的学生能在最短的时间内可以用泰语交流，博仁大学中国东盟国际学院选择了使用自己编写的教材。

3. 研究方法

本文的研究方法分为三个部分：

1）收集 5 本中文版本的基础对外泰语教材的资料，并对该教材分解课文内容、特点及语音教法。

2）在 2018 学年期间对 201 个东盟国际学院的中国学生进行调查。调查结果分为：学生个人信息、学习 KH160 课程之前的泰语经验、学生使用过的中文版国际泰语教材、学生上 KH160 课前的泰语水平和学生对 KH160 教材的建议。

3）据调查发现的结果对 KH160 课程泰语教材进行改善，并将 KH160 新版本、旧版本教材及调查中一些学生使用过的《基础泰语一》教材内容作比较。

4. 研究结果

4.1 中文版本的基础对外泰语教材分解

目前中文版本的对外教材大部分都是中国出版的（Penpisut，2019，p.507）。最为普遍使用的中文版泰语教材具体如下：

1) 廖宇夫 (2008)。《基础泰语一》。广州：世界图书出版广东有限公司。

《基础泰语一》是最普遍使用的教材之一。该教材没有使用国际音标，书内附送 mp3 光盘，供给学者练习听力。教材的内容主要仔细讲述泰文字母与语音系统，从第一课到第十四课都是讲泰语辅音、元音、声调、尾音、符号和特殊读法等的拼读与书写规则。只有第十五课讲述日常用语与课堂用语。场景对话将从罗奕原编著的《基础泰语二》开始讲。

2) 罗奕原 (2008)。《基础泰语二》。广州：世界图书出版广东有限公司。

这本教材与廖宇夫《基础泰语一》是同个一系列教材。该教材也没有使用国际音标，但附送了 mp3 光盘。第一到第十二课的课文场景分为：打招呼、家庭、日期、时间、饮食、购物、问路、乘车、打电话、疾病、邮局和季节。在第十三课到第十五课和第二十一到二十二课讲到在泰学习和泰国文化，而第二十课的内容是中国节日。

3) 吴应辉主编 （2010）。《使用泰语入门》。北京：外语教学与研究出版社。

该教材的使用对象是赴泰教书的汉办志愿者中文老师。泰语介绍部分内容比较详细，讲述了泰语语音系统和总结了泰语书写与拼读规则。第一到二十课的课文场景分别为：打招呼、询问、时间、日期、约会、课堂与工作用语、交通、处所、饮食、水果与小吃、服装、体育和娱乐、请假、请求帮助、答谢与祝福位列。最后附上情景介绍与中泰文化的实用文稿。本教材特点是使用泰文文字与国际音标，教材设计比较适合赴泰担任中文教师在国内事先准备和学习泰语。

4) 李健、陈辉、熊稻（2014）。《泰语口语教程》。广州：世界图书出版广东有限公司。

该教材与上述的两本教材是同一系列。该教材也没有使用国际音标，但给学者提供 mp3 光盘。虽然本教材是专门讲述泰语口语，可其内容却比上述的两本教材稍微简单一些，而且 教材内容全部使用泰文描述。所以使用这本教材的学者应该先读懂泰文。

5) 何喜玲、茵塔妮主编。（2015）。《泰语使用基础教材》。北京：新华出版社。

该教材分为两部分：第一部分（第一到第五课）是语音部分，讲述泰语辅音、元音和 声调等拼读规则；第二部分（第六课到二十六课）是情景应用部分，课文情景如：机场、作客、 租

房、泰餐、购买等内容，每一课除了对话内容还有短文。虽然每一课的题目适合初学者， 但对话与短文内容比较长，且难度也相当高。该教材也没有使用音标，只有附赠 mp3 光盘。 全部内容都使用泰文描述，使用这本教材的学者也应该先懂泰文。

<center>表一 中文版国际泰语教材分解</center>

年份	教材名称	课文场景	语音教法
2008	《基础泰语一》 廖宇夫编著	第 1-14 课：辅音、元音、声调、尾音、符号和特殊读法。第 15 课：日常用语与课堂用语。	全泰文， 附送 mp3
2008	《基础泰语二》 罗奕原编著	第 1-12 课：打招呼、家庭、日期、时间、饮食、购物、问路、乘车打、电话、疾病、邮局、季节位列。第 13-15 与 21-22 课：在泰学习和泰国文化。第 20 课：中国节日	全泰文， 附送 mp3
2010	《使用泰语入门》 吴应辉主编	泰语介绍：语音、书写与拼读规则。第 1-20 课：打招呼、日期与时间、课堂与工作用语、交通与处所、饮食、请求帮助、答谢与祝福位列。最后附上中泰文化的内容。	泰文， 标 IPA， 附送 mp3
2014	《泰语口语教程》 李健等编著	共有 33 个对话场合位列如：寒暄、拜访、时间、日期、天气、年龄、疾病、路上、购物等	全泰文， 附送 mp3
2015	《泰语使用基础教材》 何喜玲主编	第 1-5 课：辅音、元音和声调等拼读规则；第 6-26 课：机场、作客、租房、泰餐、购买等场景对话与短文。	全泰文， 附送 mp3

　　除了上述五本的基础泰语教材，还有其他的泰语教材如：2012 年李炳度编著的《别笑！我是泰语学习书》，2014 年罗奕原编著的《商务泰语会话教程》等，所有提到的教材的对话内容全都用泰文书写，只有 2010 年吴应辉主编的《使用泰语入门》才有国际音标。所有提到的课文顺序一般从打招呼、家庭、天气、时间日期为先，所以这些教材适合来泰国之前有充裕的时间学习泰语的学生，而已到泰国的学生需要尽快适应在泰国生活的环境，更要尽快学会基础的交际泰语。为了可以跟泰国人交流，如使用上述的教材，学者还需要一段时间先熟练泰文拼读规则，再学习寒暄、家庭、天气、日期等的基础对话，然后才能学到在泰国生活真正用得到的内容。

　　为了适应博仁大学中国学生的需求，博仁大学-中国东盟国际学院的"外国人泰语沟通技能"课程，课程代码为"KH160"就使用了自己编写的教材。因国际音标对非语言专业的学生来说比较难熟练，所以"外国人泰国沟通技能"课程的教材全部内容使用了自己设计的泰语音标系统。该音标系统与汉语的拼音系统比较接近，所以很适合给中国学生学习。

4.2 　针对中国学生的调查

　　为了改善中国学生使用的泰语教材，本文在 2018 学年期间对 201 个东盟国际学院的中国学生进行调查。内容涉及到如何促进泰语教科书的发展。

4.2.1 学生个人信息

调查对象当中有 125 个为男性，其它 76 个为女性；18-21 岁的学生占 75.62％，22-25 岁的学生占 23.38％。

调查结果显示，调查问卷中有 151 人是第一年级的本科生，占回答问卷的学生总数的 75.12％。其中，国际贸易专业的学生有 41.79％，金融会计专业的学生有 41.79％，旅游管理专业学生有 8.96％，艺术设计系的同学有 6.97％。结果显示，这些学生都是非语言专业的　学生。

4.2.2 学习 KH160 课程之前的泰语经验

零基础的学生占 34.32％(69 人)。曾经学过泰语的学生占 65.67％（132 人）。但是 65.15 % 的曾经学过泰语的学生只有少于一个月的学习经验，其中有 46.4％的学生使用了自学方式，31.2％ 的学生来泰国留学后才开始在校外补习学校学习泰语，只有 19.2％的学生来泰国前曾与老师学习过泰语，在这一部分中，只有 5 个学生曾跟泰国老师学过泰语。
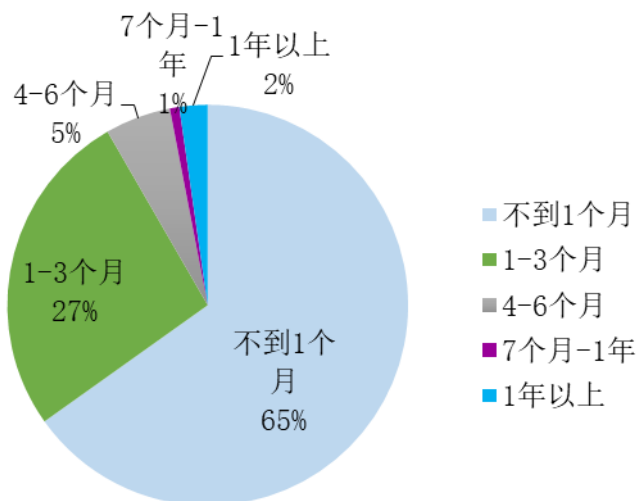
图一 上 KH160 课前，有学泰语多长时间的经验

4.2.3 学生使用过的中文版国际泰语教材

虽然市场上有许多泰语教材，可学生认识并使用过的教材只有：廖宇夫编著（2008）。《基础泰语一》。广州：世界图书出版广东有限公司。
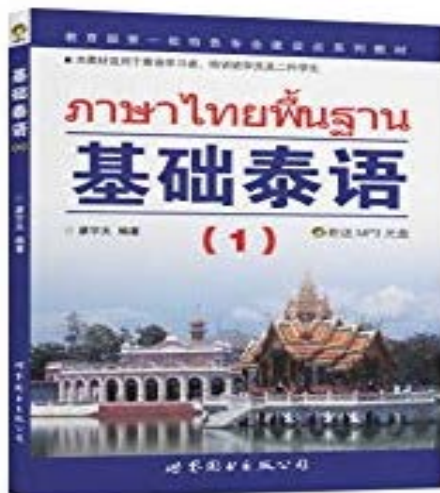
图二《基础泰语一》

4.2.4 学生上 KH160 课前的泰语水平

41.29％的学生会讲一点点泰语，48.76％的学生的泰语水平为零基础。调查显示，虽然有 65.67％的学生曾学过泰语，但大多数的学生无法使用泰语交流。
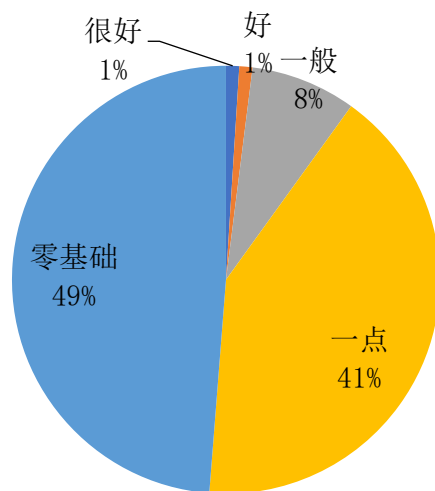
图三 学生上 KH160 课前的泰语水平

从调查结果中可以看出，来泰留学之前，大部分的中国学生对泰语方面没有充分准备。这些学生不是主要因为对泰国语言与文化感兴趣而来泰国学习。对于教材方面，廖宇夫编著的《基础泰语》在这些学生当中的知名度最高。

4.2.5 学生对 KH160 教材的建议

调查显示，学生对该教材提出改进的建议如下（结果位列）：

表二 学生对 KH160 教材的建议

重要的内容	最感兴趣的内容	想添加的对话情景	要添加其他部分
1.买东西	1.买东西	1.机场	1.泰国文化
2.问路与场所	2.饮食	2.移民局	2.听力练习
3.饮食	3.问路与场所	3.网购	3.泰文字
4.打招呼与互相认识	4.打招呼与互相认识		4.语法
5.疾病与紧急情况	5.旅游		
学生认为不需要学习的内容是家庭。		需要添加的词汇：水费、电费、房费、手机费等在泰生活需要缴纳的费用。	

从调查结果中可以看出，学生想学习的话题主次，想添加的对话场景用语及词汇是他们在泰国生活最需要使用的。一般在泰生活的学生最先要与泰国人交流关于衣食住行的话语。对于泰语的时间与日期，对非泰语专业的中国学生来说，有一定的难度，关于家庭、天气及日常生活的内容也不是在泰生活最需要交流的事情。

4.3 针对 KH160 课程泰语教材的改进

使用这本教材大部分学者的年龄为 18-21 岁，全是非语言专业的中国学生。大部分的学生有少于一个月的学习泰语的经验，泰语水平为基础等级。由于已到泰国上大学，需要最快的时间学会基础听说泰语，所以使用音标的教材最为合适。但市场上的教材使用的是国际音标系统，对非语言专业的中国学生来说，有一点的难度，所以教材全部内容使用了博仁大学的讲师们设计的泰语音标系统。该音标系统与汉语的拼音系统比较接近，所以很适合中国学生学习。关于设计教材内容，除了考虑到内容的难度，还要考虑学生使用的需求，先学习关于衣食住行的事，把该内容的语法简化，让学生能在最快的时间内适应泰国的生活。等学生已适应了泰国的生活环境，再把关于日期、时间、家庭、天气、日常生活及泰国文化的内容给学生学习。

按照上述调查结果与分析重新编写 KH160 课程的教材，改善了对话场景、词汇、语法和练习等内容。KH160 新版本、KH160 旧版本及调查中一些学生使用过的《基础泰语一》教材内容对比如下：

表三 KH160 课程旧版本、新版本教材及《基础泰语一》的比较

课程部分	160 课程旧版教材的内容	160 课程 2019 学年新教材的内容	《基础泰语一》
泰语介绍	泰语音标	泰语音标	泰语语音简介
第一课	打招呼与互相认识	打招呼与互相认识	中辅音和单元音
第二课	家庭	数字，买校服，教学楼	单元音和特殊元音
第三课	日常生活与爱好	食堂，食品	中辅音声调
第四课	时间与约会	泰餐	高辅音、高辅音声调

表三 KH160 课程旧版本、新版本教材及《基础泰语一》的比较(续)

课程部分	160 课程旧版教材的内容	160 课程 2019 学年新教材的内容	《基础泰语一》
第五课	场所	买东西	低辅音（一）、低辅音声调
第六课	食品	买药	低辅音（二）
第七课	买东西	问路与场所	复合元音
第八课	疾病与紧急情况	课程，职业，移民局	单元音小结
第九课	在理发店	日期与时间	清尾辅音
第十课	去旅游	-	浊尾辅音

　　综上所述，编写对外泰语教材时，应该先考虑学生学习的目标与时间。本调查的对象是已到泰国学习非泰语专业的中国学生，他们学习目标是为了在最短的时间内会用泰语交流，让他们尽快适应泰国生活环境。所以安排课文的顺序时，要以在泰国生活最需要交流为主。

5. 结语

　　目前外国学生学习泰语的数量有所增加，我们可以从各个对外泰语的方面进行研究。以下应给予更多的关注。

　　1.目前有不少中文版的对外泰语教材，而大部分中文版的对外泰语教材是适合语言专业学习的学者和对泰语感兴趣而自学的学者，但已到泰国学习的非泰语专业的中国学生对学习内容的要求不同，他们和语言专业学习的学者和对泰语感兴趣而自学的学者有不同的学习目标，也存在学习时间的限制，他们需要用最快的时间学会对他们在泰生活最有用的泰语，同时他们还要关注自己专业课程的学习内容，学习新语言有可能会给外国学生造成一定压力，所以我们可以从非泰语专业的中文版的对外泰语教材的内容如：词汇、练习、语法、泰国文化等方面进行更深入研究而加以改善，帮助已到泰国学习的中国学生更快地吸收学习内容。

　　2.大部分来泰国学习的中国学生年龄为 18-25 岁，为了更适合 Z 世代的学生，对外泰语的教学方式也应该进行改善，更适合以学生为中心、成果导向教育、主动学习等 21 世纪的教学方式。因此，除了教材的方面，教学方式及教学策略在对外泰语的研究领域还需要继续深化，需要进一步扩展和加强。

　　3.目前大部分的对外泰语教材和课程的特点是基础性和综合性，注重"听、说、读、写"四个综合技能，而法律、医学、商务、进出口、旅游管理等专门用语的教材的数量较少，所以我们可以对专门用语的方面提高教材及研究的数量。

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Inspirations and Strategies that Influence the Successful Learning of a Second Language

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Abstract

The main purpose of this study is to explore the impact of Chinese students' learning inspiration and strategies on the effectiveness of Thai language learning, so as to check whether there is a mediating effect in the learning strategy, the learning inspiration and the learning effectiveness of Thai language. A quantitative research method is adopted. Questionnaires are conducted in Chinese students at Dhurakij Pundit University in Thailand, based on which the relevant researches are performed. The content of the questionnaire is divided into four parts: student basic information, learning inspiration scale, learning strategy scale, and Thai language learning effectiveness scale. The research object is Chinese students at Dhurakij Pundit University who learn Thai language as a sub-major. A total of 100 questionnaires were distributed, and the questionnaires were distributed through the Internet. The research results show that learning inspiration has a significant positive relationship with Thai language learning effectiveness and learning strategies. Learning strategies have a significant positive impact on the effectiveness of Thai language learning. There are some mediating effects between the learning strategies and the learning inspiration and Thai language learning effectiveness. Based on the findings and conclusions of this study, the author puts forward some suggestions for reference.

Keywords: Chinese students; Thai language learning effectiveness; learning inspiration; learning strategies.

影响成功学习第二语言的灵感和策略

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摘要

本次调查主要探究中国学生的学习灵感、策略对泰语学习成效的影响，而接着检查学习策略对学习灵感与泰语学习成效之间是否有中介效果的存在。本调查采取量化的研究方法，对泰国博仁大学的中国学生进行问卷调查和研究，调查问卷内容分为学生基本资料、学习灵感量表、学习策略量表以及泰语学习成效量表等四部分。研究对象是以泰语专业作为副专业的博仁大学

中国学生，总共发问卷 100 份问卷，通过网络进行分发问卷。研究结果表示：学习灵感对泰语学习成效与学习策略呈现显著的正面影响；学习策略对泰语学习成效具有显著的正面影响；学习策略在学习动灵感泰语学习成效之间存在部分中介效果。根据本研究表明及结论，分别提出参考性与建议。

关键词：中国学生；泰语学习成效；学习灵感；学习策略。

1. 研究背景

自古以来学生都是学校的主体对象，教育以是促使学生身心各方面综合发展为目标，如何有效有质量地学习是成功教育的关键所在。那么学生的学习成效都有哪些内涵？根据学者们的观点，学生的学习成效是体现大学教学质量的重要指标（Beno,2004）。因此，了解和研究影响大学生学习成效的相关成功因素，对于大学、学生以及教师来说都是教学的重要体现。大学生学习成效指的是学生在参与特定的大学课程时，通过学习和进修在特定程度上所获得的知识、技能与态度（Ewell,2001）

那么影响学习成效的主要因素，本研究也考虑研究这个问题，在学习第二语言中，学习灵感和学习策略是既互相影响又不能或缺的两个关键性个体要素，掌握好这两个因素有利于加强大学生的学习成效。学习灵感是影响第二语言习得过程和结果的一个重要个体差异因素（谭晓健，2015）。其他著名理论：在详细的外语学习能力之后，学习灵感也是一种最能有效预见学习成效的关键性因素（Skehan,1998）

关于学习灵感的讨论：语言学习策略分类类型多元化。对学习策略的研究和实务教学产生重大的影响将如何有效地进行归类。目前在学术界最有代表性的观点，是美国 Oxford 提出的分类原则，将其分为直接策略和间接策略两种。直接策略参与在目的外语的学习过程中；而间接策略通过规划、评鉴、寻找机会、加强合作交流等方法为语言学习提供支持。直接策略是由记忆、认知和补偿策略组成的；而间接策略分成元认知、情感和社交策略（Oxford,1990）。在泰语作为第二语言的学习过程中，有部分学者认为，学习泰语最常用的策略是社交策略、元认知策略、补偿策略；其次是认知策略。

2. 研究目的和创新

此项研究主要达到以下几个方面的目的：

一是探讨中国大学生的学习灵感与学习策略对泰语学习成效的影响；

二是说明中国大学生的学习灵感对泰语学习成效之间受学习策略中价影响。

本研究对此提出两个方面的创新性：

一是在内容和对象方面:对于语言学习灵感和策略的研究上，都是侧重研究英语学习方面比较多，对于中国大学生的学习灵感、策略对泰语学习成效的影响研究却并不多；随着中泰贸易合作起飞以及东盟各国联系关系日益密切起来，中国人学习泰语的人数日益增多，研究结果对

学习泰语的中国人和泰语教师有一定的帮助。

二是研究领域：研究者在第二语言的环境下进行研究，此有利于研究结果接近第二语言的学习情况。

3. 研究方法和对象

研究方法的使用是确保研究成果科学性、有效的必要性（任春霜，2013）。研究方法为实证法研究。在实证部分采用了问卷调查法。问卷调查法是量化研究中常用的研究方法。问卷调查是依据调查目的和内容而设计出来一系列问题，通过网络进行分发问卷，然后对问卷进行回收和整理，并进行统计分析，从而得出研究结果的研究方法（郑晶晶，2014）。本调查是在 2019 年 9 月通过网络分发问卷，问卷收回之后把问卷数据输入 Excel 软件，再用 SPSS 数据分析软件对数据进行处理和分析，以证明本研究的研究假设是否成立。

研究对象是以泰国博仁大学的学习泰语的中国学生为研究对象，主要采用问卷调查法对中国学生泰语学习情况进行了研究分析。预计发放 100 份网络问卷：其中是国际贸易专业中国学生获得 50 份；旅游专业中国学生获得 50 份；两个专业的学生都正在就读泰国博仁大学一到四年级的泰语专业为副专业。

研究工具采用问卷调查的形式，问卷每道题设计都用中文说明。问卷内容分成四个部分，分别为个人信息、学习灵感、学习策略、学习成效。个人信息部分共设计几个项：性别、年龄、年级、专业、学习泰语的时间。此外，学习灵感、策略和成效的调查问卷使用五个等级进行评论，每题都是一个陈述，后面附数字选项 1,2,3,4,5 如下：

1 = 完全或几乎完全不符合我的情况

2 = 通常不符合我的情况

3 = 有点符合我的情况

4 = 通常符合我的情况

5 = 完全或几乎完全符合我的情况

4. 研究结果

问卷分析法本研究为了了解各个变项，有运用 SPSS 统计套装软件作为分析工具。依据本研究目的和研究问题需求，分别采用信度分析、因素分析、描述分析、回归分析等统计法分别对各项进行考验。该研究内只说明回归分析部分，如：

4.1 学习灵感对学习成效之回归分析

学习灵感可以解释学习成效中 54.2%的变异。也就是说学习灵感可以在 54.2%程度上对学习成效产生影响。R_2 为 0.542；sig 值到达显著水平（$p<0.001$）；β 系数为 0.735；表示学习灵感对学习成效有正面显著的影响力，表示学习灵感越强，学习成效越高。

表一 学习灵感对学习成效之回归分析表

	非标准化 B	标准错误	Beta	t	显著性	R	R_2 平方
常量	0.858	0.227		3.754	0.000	0.735a	0.542
学习成效	0.856	0.061	0.735	14.317	0.000		

研究证明当学生的学习灵感越强，学生的学习成效也就随之越高。学生的外语学习灵感与学习成效具有密切地影响，也就是学习灵感越强，成效也就越好。因为是这样，国内外学者对外语学习灵感的研究给予越来越多的重视和投入（雯雯，2012）。所以，由此可以看出学生学习灵感越强，代表着学生渴望学习和对学习充满热情的情况越良好，可以促使他们更好更快地在国内外学习，从而学习成效也就会随之提高。

4.2 学习灵感对学习策略之回归分析

学习灵感可以解释学习成效 64.2%的变异。也就是说学习灵感可以在 64.2%程度上对学习策略产生影响。R_2 为 0.642，sig 值到达显著水平（p<0.001），β 系数为 0.786。表示学习灵感对于学习策略有正面显著的影响力，表示学习灵感越强，学习策略越高。

表二 学习灵感对学习策略之回归分析表

	非标准化 B	标准错误	Beta	t	显著性	R	R^2 平方
常量	0.655	0.175		3.700	0.000	0.786a	0.642
学习成效	0.817	0.046	0.786	17.693	0.000		

研究者通过分析得出学习灵感对学习策略是呈现正面影响的，学习策略的主要目标之一就是以学习灵感为基础，对学生进行策略上的培训，使学生掌握有效的学习方法。（李鸿雁，2006）学习策略运用水平越高，反而会增强学生的自信心，从而提高成就灵感水平。

4.3 学习策略对学习成效之回归分析

学习策略可以解释学习成效 52.1%的变异。也就是说学习策略可以在 52.1%程度上对学习成效产生影响。R_2 为 0.521，sig 值到达显著水平（p<0.001），β 系数为 0.731。表示学习策略对学习成效有正面显著的影响力，表示学习策略越强，学习成效越高。

表三 学习策略对学习成效之回归分析表

	非标准化 B	标准错误	Beta	t	显著性	R	R^2 平方
常量	1.008	0.234		4.608	0.000	0.731a	0.521
学习成效	0.833	0.060	0.731	13.964	0.000		

结果证明策略的使用对提高学习成效是成正比的，这与过去许多研究都是基本相符的，这说明学习策略是影响学生学习成效的组成部分，学习策略地掌握和使用可以保证学习成效并获得最佳的学习成绩。

4.4 学习策略之中介效果分析

本研究利用回归分析进行检验学习策略对学习灵感与泰语学习成效是否具有中介效果。

根据下表可以得到：通过模型 2 可以得到学习灵感对学习成效（β=0.729 p<0.05）具有显著影响；模型 1 可以得到学习灵感对学习策略（β=0.796 p<0.05）具有显著影响；接着在模型 2 的基础上加入学习策略（模型 3）进行回归分析，得到学习策略对学习成效具有显著影响，学习灵感对学习成效仍然具有显著影响，且标准化回归系数由之下降。因此，得到学习策略在学习灵感对学习成效的影响中具有部分中价效应。

表四 学习策略对学习灵感与学习成效之中介效果检验表

模型	自变项	非标准化 B	标准错误	Bata	T	Sig	VIF	F 值	R 平方
依变项: 学习策略									
模型 1	（常量）	0.655	0.175		3.700	0.000			
	学习灵感	0.817	0.046	0.786	17.693	0.000	1.000	313.029	0.642
依变项: 学习成效									
模型 2	（常量）	0.858	0.227		3.753	0.000		204.984	0.542
	学习灵感	0.856	0.061	0.735	14.317	0.000	1.000		
模型 3	（常量）	0.561	0.224		2.557	0.011		126.699	0.576
	学习灵感	0.489	0.094	0.431	5.348	0.000	2.729		
	学习策略	0.452	0.092	0.382	4.817	0.000	2,729		

4.5 学习策略对学习灵感与泰语学习成效之影响

学生的学习灵感和学习策略是第二语言学习中收到专家学者们高度重视与关注的热点。研究认为学习灵感和学习策略对学习成绩都有影响；学习灵感除了对学业成绩有直接影响之外，还影响学习策略从而间接影响学业成绩（刘加霜，1998）。本研究探讨学习策略对学习灵感与泰语成效之间是否成立中介的关系，通过对统计分析方法进行检验，发现这三个之间有着相互的关系，并且学习策略在这三个变量之间存在着中介的关系。因此，学习灵感对泰语学习有成效之影响。在泰语学习成功因素中，灵感和策略都分别扮演着不同的角色。

5. 结论与建议

5.1 研究结论

以下将本研究所得的结论分述具体如下：

1.本次研究的调查问卷分为学习灵感、学习策略、学习成效三部分。这些灵感和策略在中国大学生学习泰语的过程中都起到非常关键的作用，对于提高泰语学习成效都是极为有用的方法

和技巧。

2.本研究发现学习灵感对学习成效有显著的正面影响，就说明学生的学习灵感越明显其学习成效也就越显著，将会产生更好的学习结果。灵感是第二语言学习的诸多因素中最具有主观能动性的因素，学习灵感的方法和训练是第二语言学习取得成功的关键所在。学习灵感同时也是仅次于语言学习技能最强有力的学习效果预测因素（张刚，陈金诗，2005）

3.本研究发现学习灵感对学习策略有显著的正面影响，此结果说明学习灵感越强其学习策略也就越显著。近年来，作为影响外语学习的重要因素，学习灵感和学习策略受越来越多的学者关注和重视。研究结果表明，学习灵感类型影响学习策略的选择、灵感水平和学习策略使用的数量，选择有效的学习策略同样也可以促进学习灵感水平的提高（包兰兰，2005）。研究结果与学者们的研究结果相一致。

4.本研究发现学习策略对学习成效有显著的正面影响，此结果说明学习策略越强其学习成效也就越显著。研究结果显示，学习成效与学习策略的使用有着紧密的关系，学习策略是影响学生学习成效的重要因素，学习策略的掌握和有效使用可以保证学习效果并获得最佳的学习成绩（陈浩华，朱炼红，2009）。根据学者们的研究发现，本次研究结果和过去学者们的研究是相符合的。

5.本研究利用复回归分析法发现，学习策略对学习灵感与泰语学习成效具有部分中介效果，此结果说明学习灵感和学习策略都对学生泰语学习成效生产影响，就是说应该同时利用学习灵感与学习策略来解释泰语学习成效。研究结果表明，学习灵感与学习策略同时对学习成效有着很大的影响。学习灵感与学习策略互相影响相互作用，共同促进提高学习成效。同时加强学习策略的培养，从而达到较好的教学效果（陈浩华，朱炼红，2009）

5.2 研究建议

根据以上研究结论，本研究提出参考性的建议具体如下：

（1）对学生的建议

对于学生来说应该寻找激励自己学习的方法，每个人存在着差异。想着要好好学习语言起到重要作用的是要有学习的灵感，帮助启发学习灵感提议的方法如下：

考虑到我们从学习中获得的目标或成就，并设定一段时间的学习目标或将大目标分成小目标逐步实现。因为除了开始容易着手之外，还是每次都对您建立信心的另一种心理学的方式，从而能够实现这些目标并帮助激发未来更多的目标。

从原始人类那寻找灵感，聆听别人取得成功的经验故事，将有助于吸引您拥有更多能量，尝试着寻找榜样或个人案例，尤其是成功人士或我们想要像他一样生活的人，也是自己创造内在灵感的另一种方式，研究他有什么想法？如何实施才取得成功，用来整改成为我们的方式。

当取得成功给予奖励，增加学习中各方面灵感。当自己完成其目标时，设置奖励。

（2）对教师的建议

本研究发现学习灵感与学习及泰语学习成效呈现显著正面影响，学习灵感与学习策略在泰语学习成效中是非常关键的因素。教师应该利用不同的教学方法来鼓励和激发学生的学习灵感，使他们发展属于自己的学习策略，并对自己的学习行为和态度进行自我评价。

学生在其学习中取得成功需要考虑到许多必要因素。重要因素之一是为学生创造学习灵感，

但老师本人必须是知识渊博、热心和继续激励之人。若教学策略不断地发展自己的教学，对老师有如下建议：

    A. 始终为学生创造学习热情和激情。

    B. 制定学习目标，老师的期望是学生能够实现老师所设定的学习目标。

    C. 建立方案、变更签发指令方式成为挑战或给予学生有选择的机会。

    D. 责任感方面：当学生知道自己必须负责时，学生将会有惊人的学习灵感。

    E. 专注于积极思考，无论发生什么情况，老师应该教育学生以积极思考为主。

    F. 合作学习，学生练习在朋友群体中互相照顾，合作参加小组活动。

    G. 鼓励方面：当遇到问题或感到不适时，从小动作中寻找安慰点鼓励学者。

（3）对学校建议

学校环境和基础设施的改善对提升学生的学习起到一定的辅助作用。学校应该增加学校投入、优化教学设施、优秀教师、图书馆藏书等，为学者创造优良的泰语学习资源。在泰语课程方面除了常规的泰语必修课之外，也可以让学生参加多模式的泰文活动，增加课外活动，让学生与泰国学生进行交流，从而维持学生们的学习兴趣。

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A study on the new characteristics of promoting Chinese culture in the "new immigrants" community of overseas Chinese in Thailand

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Abstract

As the core of the overseas Chinese society, the Chinese and overseas Chinese community is also a significant force in spreading Chinese culture overseas. In recent years, more and more newly-emerged "new migrants" associations have gradually shaped into fresh blood in the promotion of Chinese culture overseas, showing a great many new characteristics in the practice of promoting Chinese culture. Unfortunately, very limited related researches exist. This article hereof has summarized five new characteristics of the Chinese and overseas Chinese "new migrants" association in Thailand when promoting Chinese culture, namely younger members, diversified promotion fields, modernized promotion means, epochal promotion contents and close contact with the motherland. In consideration of different priorities manifested in the traditional community and the "new migrants" one respectively, the author strongly believes that better effects will be achieved and faster overseas spreading of Chinese culture can be reached if the best of the two communities above could be made.

Keywords: overseas Chinese, new migrants associations, Chinese culture, new characteristics.

泰国华人华侨"新移民"社团推广中华文化的新特征研究

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摘要

华人华侨社团是海外华人华侨社会的组织核心，也是在海外传播中华文化的重要力量。近年来"新移民"社团组织越来越多，成为中华文化海外推广的重要新生力量，它们在推广中华文化的实践中表现出了很多新特征，然而目前的相关研究还非常有限。 文章归纳出泰国华人华侨"新移民"社团推广中华文化的五个新特征，即成员年轻化；推广领域多元化；推广方法现代化；推广内容时代化；与祖国联系紧密化。作者认为传统华人华侨社团和"新移民"社团在推广中华文化上各有侧重，若能取长补短会取得更好的效果，更有利于推动中华文化在海外的传播。

关键词： 华人华侨　新移民社团　中华文化　新特征

1. 引言

1.1 研究背景

华侨学校、华文报纸和华人社团被视为华侨华人社会的三大支柱，其中华人社团是整个华侨社会的组织核心，也是在海外传播中华文化的重要力量。（方雄普，1997）纵观海外华人华侨社团在推广中华文化方面的表现和成绩，可以说华人社团是中华文化在海外的最直接的体现者、传承者和传播者。"早期来自中国各地移民为居住和谋生的方便,基于地缘、族源、神缘等因素,彼此结成团体，在异域守望相助,共谋生存和发展,社团遂以产生。"（庄国土，2010）传统社团在华人华侨社会行使的职能很全面，传承和推广中华文化是华人华侨社团职能中的重要组成部分，为中国文化在海外的传承和推广做出了极大的贡献。

然而随着时代的发展和各国政策的变化，这些传统的华人华侨社团在推广中华文化方面也遇到了一些挑战：很多传统的华人社团会员普遍年龄较大，而老侨领的子弟较少参与社团的活动；很多传统的华人华侨社团安排的活动非常有规律，内容和节目多讲究继承传统，新的形式和内容较少；在推广的中华文化的内容上，注重传统文化和地方文化，对当今迅速变化中国大陆文化较为陌生；在推广中华文化的形式上坚持传统，对于一些近些年来兴起的新技术和新工具利用不甚多；传统的华人华侨社团对推广中华文化的的动机，多出于对祖先及其故国的深厚感情，以及老一辈华人华侨的爱国主义传统，对中国政府的一些文化推广战略的具体需求的理解可能没有那么及时和到位。

近年来，随着国际形势变化和中国国家政策的调整，海外新移民群体数量日趋庞大，新移民群体建立的社团也越来越炙手可热，这些社团在海外推广中华文化方面越来越成为一支不可或缺的力量，作为海外华人华侨主要居住国之一的泰国情况更是如此，目前由新移民群体成立的在泰国政府注册、有固定场所和固定工作人员的新移民社团数以百计，并且数量还在不断增加，比如地缘性社团如泰中吉林总商会等；业缘型社团如"泰华房地产协会"；其他的如"广西民族大学泰国校友会"等。作为一种新生的力量，在泰的华人华侨新移民社团在各方面都表现积极，努力的展示和提升其影响力，传播和推广中华文化也成为了他们的使命之一，这即"鲶鱼效应"的作用，为海外华人华侨社会注入了活力，也在具体实践中体现出了诸多不同于传统在泰华人华侨社团的新特征。

1.2 研究的目的和意义

在西方文化作为主流的当代世界，如何把中华文化推向世界？在海外推广中华文化的实践中应该如何更好的发挥华人华侨社团的力量？"团结统一的中华民族是海内外中华儿女共同的根，博大精深的中华文化是海内外中华 儿女共同的魂，实现中华民族伟大复兴是海内外中华儿女共同的梦。"（习近平，2014）研究海外"新移民"社团在海外推广中华文化的新变化和新特征既是海外华人华侨新移民群体研究的重要组成部分，有利于国家更好的完善侨务政策，保护海外华人华侨的利益，也对把中华文化推向世界和实现中华民族的复兴有着重要的现实意义。

1.3 研究的主要问题

问题一：泰国华人华侨"新移民"社团的组织和成员有何新变化？

问题二：泰国华人华侨"新移民"社团推广中华文化中体现出了什么新特征？

1.4 核心名词解释与界定

华人亦被称作"海外华人"，已取得外国国籍且已丧失中国国籍的人被称为"海外华人"，所以其法定身份已是外国人，受居住国法律保护，但在习惯上仍称中国大陆为国内。

华侨亦被称作"海外华侨"，中华人民共和国将华侨定义为：尚未加入外籍的中国公民，已取得住在国长期或永久居留权，并已在住在国连续居留两年，两年内累计居留不少于 18 个月；或尚未取得住在国长期或永久居留权的中国公民，但已取得住在国连续 5 年以上（含 5 年）合法居留资格，5 年内在住在国累计居留不少于 30 个月，视为华侨。

作为区别于中国"老移民"的中国"新移民"的概念，在政府文件和学术界都有定义，但是截至目前还没有一个统一的内涵界定。其中宋全成的观点比较主流："中国新移民是指 1978 年以后移居海外、居留一 年以上的来自中国大陆、台湾、香港和澳门的、拥有中国国籍或加入了所在国国籍的中国人。"

华人社团简称华社或华团，即华人、华侨的民间组织社团。

2. 文献综述

华人走向海外的脚步已跨越千年，早在一千多年前的唐朝，那时就有中国人移居海外，到明朝时中国海外移民已经遍布东南亚各地。由于地缘接近等原因，南洋地区的华侨数量向来都是在全世界华侨总人数中占的比例是最高的，一度形成了规模宏大的"下南洋"盛举，泰国是南洋地区华人移民的主要目的地之一。至 2011 年泰国华侨华人人口约 718 万人，占泰国人口比例的 10% 左右（华侨华人研究报告，2013）。按照之前的定义，我们认为 1978 年改革开放后来到泰国的中国人是泰国华人华侨新移民的主体。

很多研究者都注意到了海外华人华侨在推广中华文化方面的重要性。"华侨华人是中华民族和中华文化大家庭的重要组成部分,不仅是中华文化的承载者和实践者,也是中华文化的传播者和创造者。"（刘芳彬，2018）"众多的华人华侨是中国特有的丰富资源，对增强中国文化吸引力和政治影响力,营造良好的国际舆论环境都起着重要作用。"（高伟浓，2013）研究者也认可华人华侨社团在海外中华文化方面发挥的组织和领导功能，"社团在华人华侨社会行使着全面的管理职能，出于维系社区发展的的现实需要和对故国文化的眷恋以及对先祖的惦念之情，传承和推广中华文化是海外华人华侨社团众多职能中的重要组成部分。"（许国栋，1994）"华人社团向政府提交国家文化备忘录，发表文化方面的宣言等，积极谋求华人文化发展的有利政治空间。为更好地保护和发扬华人文化，华人成立各种文化社团组织，并举办华人文化节等活动。华人社团的活动和举措具有主导性甚至领导性，它们对于独赢后马来西亚华人文化的保护、传承和发扬发挥了举足轻重的作用。"（石沧金，2006）可以说，长期以来海外华人华侨社团在传承和推广中华文化方面的表现出了至关重要的作用。

时代的变化，世界形势的演变以及科技的进步，都在影响着海外华人华侨社团的发展，学

者们对此也给予了关注。"在当今英国政府的多元文化政策下，部分华人社团获得新的发展空间，部分社团却随着第二代华人的本土化而面临着衰落。"（班国瑞，2005）"在当地出生的第二、三代华人已经长大成人，对参与华人社团缺乏兴趣，也觉得没必要，东南亚华人社团面临着后继无人的问题"（东南亚华侨华人社团的历史与现状，2011）一些学者开始关注到新移民社团的发展，"随着早期抵达的新移民不少已成为社团领导，加上 20 世纪 90 年代以后大量流入的新移民成为补充社团的新血液，以及新移民组建了代表本群体的社团，所以近几年新移民的社团活动活跃。"（东南亚华侨华人社团的历史与现状，2011）"新加坡这些新移民团体为帮助新移民融入、构建中新经济文化交流平台做出了贡献。"（彭慧，2013）并试图在新移民社团里找到解决传统社团发展困局的答案。与此同时，中国政府的高层也非常关注海外华人华侨新移民社团的发展，"新移民侨团发挥新移民商会组织的优势和特色，为中泰两国国家的繁荣、稳定和发展继续做出自己应有的贡献。"（裘援平，2018）尽管如此，将"新移民"及其社团单独区分出来并作为独立研究对象的对待的总体上还十分有限，尤其是对于"新移民"社团在推广中华文化方面的研究还很少。

3. 研究方法与设计

3.1 研究对象

广义的研究对象为，华人华侨"新移民"社团在海外传承和推广中华文化的新变化和新特征；狭义的研究对象为，作者选定的以"泰中吉林总商会"和被访谈的六位在泰华人华侨为代表的泰国华人华侨"新移民"社团在泰国传承和推广中华文化的新变化和新特征。

3.2 研究手段和方法

本文通过用文献研究，考察了华人华侨及其社团组织的发展历程，特别是其在履行文化传播职能的表现；结合实地调查法对泰国华人华侨及其社团组织的发展情况着重进行了解；采用案例研究法对"泰中吉林总商会"的组织和活动情况作了长达半年的深入考察，重点观察了其在推广中华文化方面的活动和方法，并通过访谈六位在泰华人华侨代表，搜集了被访者对本文所研究的问题的的意见和看法。

3.3 研究程序

1、先梳理华人华侨及其社团组织的发展历史，对华人华侨"新移民"及其组织进行定义，并研究他们与传统的华人华侨及其组织的区别。

2、通过文献研究和调查考察泰国华人华侨及其社团组织的文化职能，特别是在传承和推广中华文化方面的情况，并总结出传统华人华侨社团组织面临的一些困境和推广中华文化上的一些局限。

3、选择典型的华人华侨"新移民"社团进行跟踪调查，考察其成员，组织和活动情况，重点观察其在推广中华文化方面的详细状活动和方法，并分析其中表现出来的新特点。

4、通过访谈泰华人华侨代表，验证前期考察所得出的结论是否得到支持，并通过搜集被访

者对本文所研究的问题的的意见和看法对前期所得结论进行修正和补充。

5、总结出泰国华人华侨"新移民"社团推广中华文化的新特征，并据此提出建议。

4. 研究结果

4.1 泰国华人华侨"新移民"社团代表"泰中吉林总商会"之研究结果

经对泰中吉林总商会 21 位主要理事级别及以上会员的个人背景分析，得出会员结构方面情况如下：性别上，男士 66.7%，女士 33.4%；年龄上，30 岁-40 岁，比例为 47.6%，40 岁-50 岁，比例为 28.6%，20 岁-30 岁，比例为 14.3%，60 岁以上会员占比 9%；教育上，本科学历以上为 85.7%，其中硕士占比 14.3%，本科以下学历低于 15%。会员所从事的行业涵盖贸易、烟酒、旅游、网络、媒体、新能源等众多行业，从事新兴行业的会员多于从事传统行业的会员。

我们统计了泰中吉林总商会自 2019 年 1 月 10 日至 2019 年 7 月 10 日半年间的共计 50 个公开活动；按照所参与活动的主题性质进行大致的类别划分，分为"文化"、"交流"、"商业"和"会务"四个类别，结果显示泰中吉林总商会的主要活动还是围绕着商业活动和交流活动，但是与文化相关的活动数量也颇多，所占的比重达到 24%（图 1），此外根据泰中吉林总商会所组织和参与的文化活动列表（列表 1）可发现，泰中吉林总商会所参与的文化活动类型众多，涵盖参与文化活动，参加学术研究、支持艺术活动等，且其中有相当大的部分是与中华文化有关的。

表 1 泰中吉林总商会所组织和参与的文化活动列表

序号	时间	事件主题	信息来源
1	2019/3/15	于琳琳主席率商会代表出席玛希隆大学 CCS Talks 国际大讲坛	微信公众号
2	2019/3/25	于琳琳主席受邀参加《中华文化在泰 70 年》文选撰稿工作意见会议	微信公众号
3	2019/4/24	超越梦想，星耀世界 2019 优秀艺术特长生泰国艺术盛典	微信公众号
4	2019/4/28	泰中吉林总商会于琳琳主席一行参加一带一路 100 国百年旗袍文创展泰国站	微信公众号
5	2019/4/26	泰中吉林总商会于琳琳主席应邀参加庆祝泰中建交四十四周年叶志华艺术展	微信公众号
6	2019/4/30	于琳琳主席应邀出席侨编记联谊会并剪彩	微信公众号
7	2019/6/7	泰中吉林总商会第一次会长会议，第五次会员会议暨欢度端午节	微信公众号
8	2019/6/9	泰中吉林总商会应邀参加"第五次未来讲堂"	微信公众号
9	2019/6/16	泰中吉林总商会受邀参加"水立方杯"海外华人中文歌曲大赛	微信公众号
10	2019/6/19	于琳琳主席应邀见证"泰中东南亚华人华侨（潮学）研究所"揭牌仪式	微信公众号
11	2019/6/24	泰中吉林总商会拜访海外洪门文化交流中心吴南江会长	微信公众号
12	2019/7/10	泰中吉林总商会于琳琳主席访问中华文化促进会（北京）	微信公众号

泰中吉林总商会开展参与活动类别分布
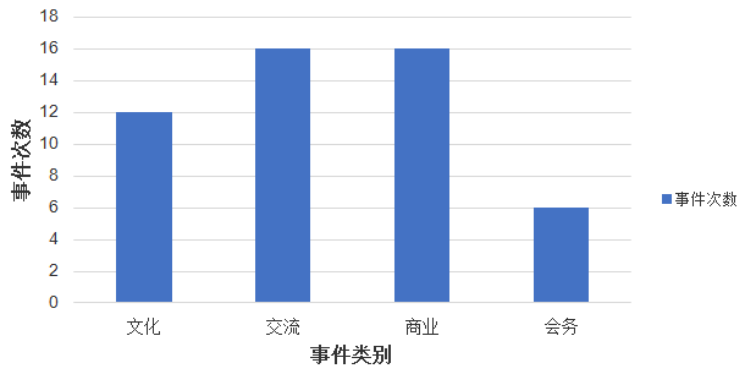
图 1

一些新的技术手段和传播工具被应用在中华文化推广中。商会建立伊始就开通了官方的网站、微信公众号、微博账号，对于商会的各种活动和事件都能及时的发布和宣传，其中有很多就是关于宣传和推广中华文化的；商会的会员个人在推广中华文化时，也都会积极的使用个人的社交网络平台，比如个人的微信、微博、抖音账号等；二维码、短视频、直播等新技术，大型LED 屏幕和大型舞台等新设备，在商会的各类活动中被使用，例如在其商会的成立庆典上，电子请柬，二维码签到等的使用都体现了其对新技术手段熟练使用。

根据对泰中吉林中商会的成员机构分析我们不难看出：华人华侨"新移民"社团会员结构呈现年轻化、高学历化的特征，并且女性会员的比例增加，社团中女性力量得到凸显；根据对泰中吉林中商会的活动情况进行分析后可以发现，华人华侨"新移民"社团对文化活动活动十分重视，与推广中华文化相关的活动数量多，种类更丰富，并触及到一些之前没有的领域；根据泰中吉林中商会的在具体的中华文化推广事件中的表现，可以发现华人华侨"新移民"社团在中华文化的推广方法上更多样更新进，对互联网等新技术手段的使用更主动更熟练。

4.2 泰国华人华侨"新移民"代表个案访谈之结果

作者选择并访谈了六位熟悉泰国华人华侨社会情况且极具有代表性的人物，受访人士具有很好的代表性和覆盖性，在访问前都与受访者进行了细致深入的沟通，访问都征得了被访者的同意，受访者都能对提问的问题有很好的理解，并且有充足的思考时间，访谈结果的使用也都获得了受访者的授权，因此访谈所获得的结果是真实可信的，且其体现出来的结论应具有很好地代表性。

访谈记录归纳如下：

一号受访者蔡先生，华侨，北京人，在泰 5 年，担任某商会秘书长，代表商会参与了很多的泰国华人华侨社团活动，对泰国的华人华侨社会较为了解。对于调查问题他认为包含三个方面的新特征：一、新老侨团的人员构成大不相同，老社团多以当地华人、华裔为主，年龄普遍较大，新侨团的参与者里中青年人较多，年龄方面呈现年轻化特征；二、由于新老侨团的成员的生长年代和背景大不相同，传统侨团在传播中华文化方面以中华传统文化为主，比如儒家思想和礼仪等；新侨团传播的内容更新潮，更能体现时代文化特点。三、在传播的形式和工具上面，新侨团更多利用网络平台，新侨团的成员也会擅长使用个人社交媒体配合内容的传播；老侨团

的则较少使用新的技术手段。

二号受访者祁先生，在泰华侨，浙江人，在泰国 28 年，商会会长，他称自己是"老侨中的新侨，新侨中的老侨"，他多年游走于泰国华人华侨的新老社团之间。他认为：一来，由于成长环境的巨大差别，新侨和老侨对中国文化的认知有些不同，并且会在思维模式和处事方式上有所表现；二来，在感情上，新侨社团的活动上回表现出一些思乡的情节，很多老侨团的成员出生在泰国，也是泰国国籍，对于中国的情感体现为对先祖和故国的感情；第三，在推广中国文化的热情上，新侨具有天然的使命感和责任感，老侨更多的是基于对故土和宗族的感情。此外他觉得要重视一个群体，即来泰几十年的"老侨中的新侨，新侨中的老侨"，他认为这群人起到了沟通老侨团和新侨团的重要作用。

三号受访者陈先生，在泰华侨，广东人，在泰 22 年，智库创始人。他的母亲是泰国华裔，他于 1997 年来泰创业，从事贸易、投资工作，并成立了战略咨询智库，专业解决泰国华人华侨在泰经商和创业过程中所遇到的法规政策问题和战略策略事宜。陈先生认为，由于作为传统华人华侨社团主力的老一辈华人大多生在泰国，长在泰国，很多人一辈子也没有到过中国，而新移民的华人华侨很多在中泰两国都有产业和社会关系，常年处于两地穿梭的状态，对两国的文化的理解和把握都更精准和具有时代性。一方面新老华侨都是沐浴中华文化长大，虽然时代环境不一样，但是相同的东西也很多，那就是传统的中华文化。另一方面，在传承和推广中华文化的方式上，老侨团多采取传统的形式，比如潮剧等，比起对外宣传更重视家族传承和言传身教；新侨团在形式上则会更多样，更新颖，且传播更有使命感。陈先生最后强调，泰国的华侨是全世界所有华侨里对新移民最包容的，所以泰国的华人华侨新移民群体才会发展的如此迅速，这种讲究和谐包容以及内心的爱国精神特别值得新移民社团学习。

四号受访者苏女士，在泰华侨，四川人，在泰 20 年。毕业于中国某知名音乐学院，是一家泰国知名华文报刊的侨社主编，在多个华人华侨社团担任职务，也是泰国华人华侨社会知名的主持人和歌手，在泰国华人华侨社会有很强的活动能力，对新老侨团都非常的熟悉。她说泰国华人华侨社会非常的和谐有序，这得益于传统社团的包容大度和新移民社团的尊老敬老，以及二者对祖国的热爱和对中华文化的推崇。苏女士认为，一方面，华人华侨新移民社团的成员的构成与传统侨团不同。从来源上说新移民来自国内各个地方，传统社团的成员来源地有泰国本地出生的，也有从中国广东、福建传统侨乡来的；从行业上来说，新移民社团的成员所从事的行业多为新兴行业，有很多人从事设计、互联网等新兴行业。另一方面，两种社团传播中华文化的内容也不大一样，老侨团多以传统中华文化和潮州等当地文化为主，新侨团则更多体现中国大陆当代文化，地方元素也更广泛。第三方面，在传播形式和工具上，新侨团和他们的成员对互联网等新技术手段掌握和利用的比较好，在组织活动和文化宣传等方面会积极采用这些新技术手段，传统侨团则多用传统手段。

五号受访者蔡先生，泰国华人，祖籍海南，他的祖父从中国"下南洋"来到泰国，并在此落地生根，后加入泰国国籍，成为正宗的泰国人，蔡先生是其家族的第三代。蔡先生是资深金融和银行业专家，现任泰国某知名银行的高级副总裁，并在多个国际组织和华人华侨社团组织担任顾问职务。，此外，蔡先生还精通泰语、中文、英文、潮州话， 与泰国社会、泰国华人社会都有很好的联系，因此他对传统的华人华侨社团和华人华侨新移民社团都非常了解。蔡先生认为泰国的华人华侨新移民群体同乡之间抱团互助，亲情满满；在创业方面敢想敢拼，积极上进；且

在中国国内资源比较丰富。因此，华人华侨新移民社团在推广中华文化方面也有一些新特点，比如在传播中华文化过程中更善于整合国内资源，形式更新颖，更擅长运用新的形式和工具，例如网络平台。他强调在推广中华文化方面，从长远发展的角度新移民社团有必要与老移民社团加强合作，取长补短，相互尊重，携手共同繁荣中华文化。

六号受访者王先生，在泰华侨，山东人，在泰 9 年，现在某高校任教，王先生认为对于这个问题需要明确好"新移民"的概念，以及"新移民社团"的概念，如全面比较"新社团"和"老社团"很难做到科学客观，因此必须首先明确界定相关的概念。他认为，第一，主要表现为传播内容的差异，"新社团"传播的的中华文化中包含很多现在流行的大陆文化；第二，传播手段的差异，"新社团"借助网络和社交平台，很容易传播到年轻人群体中；第三，"新侨团"推广中华文化的形式也更多样，比如泰国北京商会主办的"水立方中文歌曲大赛"；第四、"新侨团"中女性力量崛起，很多女性正会有女性的方式和推动中华文化的发展，比如很多新侨团的女士会员积极参与"旗袍文化周"活动中；第五、"新社团"与祖国政府互动紧密，对重要事情响应迅速，且强调"爱国主义"。

根据对六位受访者的访谈结果梳理发现：全部受访者都认为泰国华人华侨"新移民"社团在中华文化的推广方法上更多样更新进，对互联网等新技术手段的使用更主动更熟练；绝大多数受访者认为在泰国华人华侨"新移民"社团会员构成有别于传统社团，表现为团队年轻化、高学历化 、女性会员力量凸显；绝大多数受访者感到泰国华人华侨"新移民"社团对当代中国文化和流行文化更熟悉，在推广中国文化兼顾传统和当代，时代性更明显；有半数的受访者指出泰国华人华侨"新移民"社团推广中华文化相关的活动数量更多，种类更丰富，并触及到一些之前没有的领域；半数的受访者认为泰国华人华侨"新移民"社团与祖国联系更紧密，互动更频繁，对国家政策响应迅速，在中华文化推广中融入爱国主义。

5. 结论和建议

结合泰中吉林总商会的案例研究和与泰国华人华侨社会代表人士的访谈，作者归纳出泰华人华侨"新移民"社团在推广中华文化方面表现出来以下新特征：在泰华人华侨"新移民"社团中，作为推广中华文化主体的的会员结构发生变化，表现为团队年轻化、高学历化 、女性会员力量凸显。在泰华人华侨"新移民"社团对文化活动十分重视，与推广中华文化相关的活动数量多，种类更丰富，并触及到一些之前没有的领域；在中华文化的推广方法上更多样更新进，对互联网等新技术手段的使用更主动更熟练；对当代中国文化和流行文化更熟悉，在推广中国文化兼顾传统和当代，时代性更明显；与祖国联系更紧密，互动更频繁，对国家政策响应迅速，在中华文化推广中融入爱国主义。

值得一提的是，虽然泰国华人华侨"新移民"社团是泰国华人华侨社会侨团的重要新生力量，在推广中华文化上有着时代赋予的新特征和新使命，但是在笔者本次研究调查的整个过程，几乎所有的受访者和参与者都在强调泰国华人华侨社会虽社团众多，有老有新，但是确是一个不可分割的整体，新老华人华侨在对祖国的热爱程度和对中华文化的推崇热情上是没有丝毫的差别的。传统华人华侨社团和和华人华侨"新移民"社团在推广中华文化上各有侧重，各有优势，只有加强交流，取长补短，才能推动中华文化在泰国更好的传承和发展，助力实现中华文化的伟大复兴。

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The Rise of The Fourth Upsurge of Thai Translation of Chinese literature —— A study of Thai Translation of Chinese network literature

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Abstract

Thai translation of Chinese literature has a history of more than 200 years. Chinese literature has caused three upsurges in translation in Thailand. Now, the fourth translation upsurge –Thai translation of Chinese network literature is on the rise. This research is based on documentary analysis and data analysis. The method, using Thai translation of Chinese network literature, so that we can have a deep understanding of the cultural need's features and aesthetic characteristics of Thai reader, so as to promote the dissemination of Chinese network literatures and culture in Thailand.

中国文学泰译第四次热潮的兴起——中国网络文学泰译研究

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摘要

中国文学泰译活动有两百多年的历史，中国文学曾在泰国掀起了三次翻译热潮。如今，第四次翻译热潮——中国网络文学泰译正在兴起。本研究以文献分析和资料梳理的方法，以泰译中国网络文学作品为研究对象，对中国网络文学泰译兴起的原因及特点进行研究，以使我们对泰国读者的文化审美特征和文化需求特点有深入了解，从而促进和推动中国网络文学和文化在泰国的流传。

关键词：中国；泰国；翻译热潮；网络文学

1. 引言

中泰两国地缘上非常邻近，在文化上，中国文化在泰国有着深远而广泛地影响，而且两国间，无论是官方还是民间，　自古以来，一直保持着密切友好的交流交往。甚至中国与泰国地区的文化交流活动最早可以追溯到西周时期。据东晋王嘉的《拾遗记》记载，在周成王七年时，扶娄国的杂技团到周朝王宫为王公贵族表演魔术杂技的场面。当时的扶娄国就位于现在糖果春武里府地区。虽然中泰两国间的交往的历史悠久，但多以政治和经济方面的交流为主。　两国间有明确文献记载的文学方面的交流出现的时间比较晚，但发展速度却非常快，影响也比较广泛。

直到曼谷王朝一世王时期,在一世王的推动下,泰国第一次翻译了中国的名著《三国演义》。泰文版《三国》一经问世,便风靡全泰国,并引领了一场中国古典文学翻译的热潮。之后,又出现了中国现实主义文学翻译热潮和港台武侠小说翻译热潮。

最近十九年,泰国又掀起了一场以翻译中国网络文学作品为主的中国文学泰译热潮。这次翻译热潮是继前三次中国文学泰译热潮之后的,无论在时代背景和传播方面都有着独特的特点,因此称之为第四次中国文学泰译热潮。

2. 文献综述

网络文学作为新型的一种文学样式,目前对其研究还处在初级阶段,目前在中国对网络文学的研究主要集中在未来发展前途问题研究、网络文学改编影视剧研究、网络文学理论建设研究、网络文学评论和网络文学作品本身等几方面,而对中国文学翻译的研究,还不是很多,也不是太深入。目前,对网络文学的研究成果主要有以下几方面:

2.1 网络文学影视改编研究

丁文砚(2015)《网络言情小说改编成电视剧的原因》中指出了目前影视创作存在粗制滥造。翻拍景点泛滥成灾的问题,并从受众基础和创作方式两方面支出了网络宴请小说改变成电视剧的原因,即粉丝效应和作者与读者互动的创作方式赢得了群众基础是言情小说改变影视剧的主要原因。任子秋、肖洁芳(2017)在《探析网络小说影视改编的原因》中从技术、受众基础、社会文化和影视与网络小说的关系四方面分析了网络小说影视改编的原因,首先是互联网和计算机的普及,为网络小说的产生提供了技术支持,广大网民的文学介入为小说改变成影视剧提供了受众基础;社会文虎变迁影响了影视文化的特性和类型;而试听传媒载体对传统文字媒介载体的冲击,使得文学转型等等是促使网络小说影视改编成为可能的原因。赖敏、方杰(2018)在《网络文学影视改编的文化产业影响研究》中不仅论述了网络文学产业和影视文化产业的发展及勾连概况,还指出影视剧本出现饥荒,网络文学数量庞大;影视文学能够应对影视政策的变化,群众基础好,能有效规避影视风险,易收回成本;商业盈利是网络小说改编影视的直接动力。易文翔(2019)在《网络小说影视改编文化语境探析》一文中,主要从大众文化、影视文化和互联网文化等方面探讨了网络小说改编影视热潮的原因。

2.2 网络文学发展问题研究

黄发有(2019)在《网络文学的可持续发展》一文中指出网络文学需改变以前粗放式的"人海战术",应该泰国多方面的协调配合,从规模制胜转变为精品战略,提升网络文学的艺术质量,从而激发网络文学的文化创造活力,追求风格和审美的多样化,是使网络文学走上可持续发展的必经之路。王小书(2019)在《守正创新 探索网络文学健康发展之路》中指出,网络文学应该坚持以人民为中心,用语回答时代课题,作品应融入社会主义核心价值观;网络文学应坚持加强现实题材创作,反映时代精神;网络文学要继承优秀传统文化,提高作品质量,以精品风险人民。只有如此才能够使网络文学健康繁荣有序发展。肖煜、张晓华(2019)的《让网络文学激情拥抱"现实"》指出网络文学的繁荣发展应该在内容上做时代的发声者和记录者,创作关注

现实的网路文学作品能够提升读者的自豪感和自信，使网络文学成为时代具有代表性的主流文学；在写坐上应该回归生活，在生活中观察思考写作，创作出根据有信服力的文学作品，从而吸引和打动读者；在作品的功能上，应以佳作培根铸魂滋养人心，网络文学应负担起启迪思想、陶冶情操、温润心灵的职责。这样网络文学才能够为群众所接受，为时代所接受，才能健康发展。

2.3 中国网络文学对外传播研究

刘毅、张佐堂（2018）在《网络文学中武术文化的译介与传播——以北美网络翻译平台"武侠世界"为例》中，作者以"武侠世界"网络文学翻译平台为研究对象，着重分析了北美地区的网络文学及武术文化的翻译传播情况。作者指出"武侠世界"对中国网络文学的翻译引发了北美的中国网络文学热潮。同时西方读者对武术文化的疯狂追求，为中国武侠网络文学的翻译提供了很好的契机。武术文化的海外传播会推动中国网络文学的国籍话，提高中国网络文学的世界地位，同时对中国文化的海外传播和仅仅民族身份的认同都有重要作用。单宇、蔡万爽（2019）在《中国网络文学对外传播研究：现状与前瞻》中对中国文学对外传播进行分析，研究结果表明，目前对网络文学对外传播的研究日益增多，但整体数量有限，研究主要集中在传播内容、传播媒介、传播者、手中、传播效果、传播情境和传播目的等方面，但多成碎片化，尚未形成独立的理论框架，研究方法也不太成熟。阮诗芸（2019）《中国网络文学的海外传播对翻译研究的启示》的研究结果表明，网络文学的即时互动性提升了译者的身份感，同时扩大了翻译的文本选择范围，网络文学翻译中大规模的读者参与提升了读者的主体性，而且网络文学的娱乐特性是中国文化在广大民众中传播的重要途径。尹倩、曾军（2019）在《中国网络文学的海外传播：现状及其问题》一文中，对中国网络文学在海外传播的特点进行分析，即中国网络文学在海外传播呈现由下而上，由点及面的特点。目前中国网络文学的海外传播主要集中在海外翻译网站、海外用户画像和海外翻译路径三个维度。同时分析了中国网络文学海外传播的现状及问题，即由于海外网络文学翻译平台运营模式的差异，在网络文学翻译中出现了中西方文化的碰撞及融合，中国网络文学在海外呈现出"由内向外"的在地化进程，从而带动了海外网络文学市场由自发转向自觉的过程，但中国网络文学在海外未得到主流文学圈的认可，要解决这一问题，作者提出网络文学海外传播需要进一步加强翻译质量，加强对正版网文的授权，培育海外网络文学的忠实用户。

中国网络文学作为中国文学的一部分，目前在海外传播的研究度还不高。以上研究主要针对中国网络文学本身的影视改编、网络文学的发展及理论构建进行，虽然有部分学者关注了中国文学走向海外的研究，但更多地是关注中国文学在欧美地区的翻译传播。对中国网络文学在东南亚地区的翻译传播状况的研究，目前还没有出现。而东南亚地区是与中国文化交流交往的重要地区之一，自古以来，这块地区便受到中国文化的影响，中国网络文学在东南亚，特别是在泰国的翻译也以引发了新一轮的中国文学翻译热潮，所以值得深入研究。

3. 研究目的

A. 研究中国网络文学泰译热潮兴起的原因，有助于了解泰国社会环境和文学市场的发展变化。

B. 研究中国网络文学泰译热潮的特点，以深入了解泰国读者对文学作品的需求特点和审美特征，进一步促进中国文学和文化在泰国的传播和弘扬。

4. 研究方法

本文以中国网络文学泰译作品和出版机构为主要研究对象，运用文献分析和资料梳理的方法对中国网络文学泰译热潮的兴起原因和特点进行分析，以便更好地了解泰国读者群的阅读需求特点以及泰国的文学文化环境，从而有助于进一步促进中国网络文学在泰国的传播和推广，为中国文化复兴和走向国际世界提供一定的借鉴作用。

4.1 中国文学泰译历史概述

中国文学传入泰国最早可以追溯到阿瑜陀耶时代，当时的文学并非以文本的形式传入，而是以戏剧的形式，随着移居泰国的华人一起传入到泰国。如泰国学者颂潘·勒卡潘（1975）在《中国文学演义》中所介绍："阿瑜陀耶时代的中国文学没有文字可考，其原因是当时泰国人比较喜欢印度文学，而且中国传入泰国的戏剧，展现出了完整的中国风俗形式，并未将其加以改造融入当地的文化习俗中。"由此可知，当时传入泰国的中国文学还不算是真正意义上的泰译中国文学，因为其保留了完整的中国风格和形式。

真正的中国文学泰译活动最早开始于 19 世纪初期，到现在也仅仅两百多年的历史。在这两百多年中，中国文学经历了古典文学泰译、现实主义文学泰译和武侠文学泰译三次热潮。古典文学泰译最早开始于曼谷王朝一世王时期，当时由于政治统治和军事的需要，一世王下令由昭帕亚帕康负责翻译《三国演义》，到 1805 年泰文《三国》翻译完成，在泰国引起轰动，于次年《西汉通俗演义》翻译完成，取名《西汉》，进一步推动中国古典文学泰译的序幕。在《三国》和《西汉》的影响下，《东周列国志》、《封神演义》、《东汉通俗演义》等在曼谷二世王时期被翻译成泰文。之后在四世王时期更有《西晋演义》、《东晋演义》、《南宋演义》、《新编五代史平话》、《万花楼》、《五虎平西演义》、《五虎平南演义》、《说岳》、《水浒传》和《明朝演义》等被翻译诚泰文。在五世王时期有《开天辟地》、《隋唐演义》、《罗通扫北》、《薛仁贵征东》、《薛丁山征西》、《英烈传》、《乾隆游江南》、《大红袍》、《小红袍》、《岭南逸事》、《明末清初演义》、《西游记》、《包龙图公案》等作品被翻译成泰文，四世王五世王时期是中国古典文学泰译的高潮时期。六世王时期翻译的中国古典文学数量开始减少，只有《唐朝演义》、《元朝演义》、《武则天》《五虎平北演义》四部中国古典文学被翻译成泰文，中国古典文学也进入了衰退期。

第二次热潮是中国现实主义文学作品被翻译成泰文。这一热潮是从二战后期开始的，一直持续到二十世纪八十年代。当时最早被翻译成泰文的现实主义文学作品是老舍先生的《卖国贼》和《骆驼祥子》。之后鲁迅先生的《阿 Q 正传》被翻译诚泰文，在泰国文坛掀起轰动。《阿 Q 正传》被多次重译。之后鲁迅的《狂人日记》和小说集《呐喊》，散文集《野草》等被翻译成泰文。此后，《伤逝》、《明天》、《祝福》、《故乡》、《药》、《一件小事》等也被翻译诚泰文。茅盾先生的《大鼻子的故事》、《秋收》、《残冬》、《子夜》、《林家铺子》、《白杨礼赞》和《一个文学青年的梦》等也被翻译成泰文。此外，巴金先生的《死去的太阳》、《新生》、《灭亡》、《寒夜》、《第四病

室》、《春天里的秋天》、《爱尔克的灯光》，以及激流三部曲《家》、《春》、《秋》和爱情三部曲《雾》、《雨》、《电》都有了泰文译本。老舍先生的《月牙儿》、《茶馆》、《柳家大院》、《两兄弟》，郭沫若的《奔流》，华山的《鸡毛信》，杨沫的《青春之歌》，曹禺先生的《雷雨》在此时也被翻译成泰文。张贤亮的《灵与肉》、《肖尔布拉克》和《绿化树》等作品也被翻译。

第三次热潮是武侠文学的泰译。武侠小说泰译热潮是持续时间最长的，一直持续到 21 世纪初。最早被翻译成泰文的武侠小说是金庸先生的《射雕英雄传》。该书一问世，便被抢购一空，成为家喻户晓，妇孺皆知的文学作品，同时也引领了武侠文学的翻译热潮。

在《射雕英雄传》之后，金庸先生的《神雕侠侣》、《倚天屠龙记》、《天龙八部》、《侠客行》、《夺魂旗》、《鹿鼎记》等作品均被翻译成泰文。此后，古龙先生的《圆月弯刀》、《剑花、烟雨、江南》、《大地飞鹰》、《陆小凤传奇系列》等等也被翻译，并深受泰国读者喜爱。

在古龙之后，温瑞安的武侠作品也被翻译成泰文，并引起了一时轰动。被翻译的作品主要有《幽冥血河车》、《神州奇侠》、《剑气长江》、《两广豪杰》、《江山如画》、《英雄好汉》、《闯荡江湖》、《神州无敌》、《寂寞高手》、《天下有雪》，以及《骷髅画》、《刀疤记》、《逆水寒》和《杀人者唐斩》等。

2000 年后，黄奕的小说《寻秦记》、《大唐双龙记》、《边荒传说》、《翻云覆雨》、《云梦城之谜》等被翻译成泰文。此后 2008 年大陆作家龙人的《灭秦》和《霸汉》被译成泰文，因其新颖的风格和创作理念而受到泰国读者的喜爱。

由于网络的发展，很多泰国读者在武侠小说的影响下，开始尝试模仿写作武侠小说作品，这也一定程度上影响了中国网络文学泰译的发展，为中国网络文学泰译热潮到来埋下了伏笔。

4.2 中国网络文学泰译热潮兴起的原因

中国网络文学泰译活动最早可以追溯到《灭秦》被翻译成泰文。《灭秦》是龙人于 2005 年完成的一部网络文学作品。2008 年便被翻译成了泰文，可算是最早翻译成泰文的中国网络文学。中国网络文学翻译在泰国兴起热潮的原因可以归结为以下几点：

首先，网络技术及智能手机的普及。网络技术及智能手机的普及为中国网络文学泰译奠定了技术基础。据 WeAreSocial 公司的调查数据，2018 年泰国总人口达 6924 万人，互联网用户达到 5700 王人，占总人口的 82%。手机用户达 9233 万人，平均每人 1.33 部手机。智能手机用户占手机用户的 71%，泰国人的平均上网时间达到 9 小时 11 分钟。而且网络和智能手机的普及使得泰国译者在网络上寻找和阅读中国网络文学更加方便，译者可以先阅读完整部文学作品，然后根据泰国人的审美特点来确定是否要翻译该作品，这样就使得翻译的网络文学作品更符合泰国人的审美需求，同时风险性也更小。

其次，汉语在泰国的推广和普及。汉语的普及为中国网络文学泰译提供了读者基础。目前，学习汉语成为泰国的一种热潮。中泰两国政府都鼎力支持汉语在泰国的普及。中国政府在泰国建立了孔子学院和孔子课堂，为汉语的普及和推广立下汗马功劳。同时泰国政府也要求泰国中小学都要开设汉语课程，而泰国的大学也基本上都开设了中文系。目前泰国开设中文课程的学校高达 3000 多所，学习汉语人数高达 80 万人之多。懂汉语的人数增多，那么对中国文化和文学感兴趣的人数就会随之增加。所以，汉语的推广不但培养了越来越多高水平的翻译者，而且提供了大量的读者群。

再次，中泰两国关系一直友好发展，中泰文化交流越来越密切，加之上到泰国的中国游客和新移民越来越多，使得中国文化在泰国的影响也越来大。泰国人喜爱和想要了解中国文化的人群在不断扩大。

最后，中泰两国经济的不断发展，使得两国人民的生活水平在不断提高，在满足温饱的前提下，人们生活水平越高，对精神的追求，或者对娱乐的追求也就越多。而中国的网络文学具有极强的娱乐消遣的特性。所以，中国创作网络文学的人也越来越多，而泰国需要网络文学满足精神愉悦的人群也越来越多。再加上中国古典文学和武侠文学遗留的影响，使得泰国人越来越多地通过阅读中国的网络文学来缓解精神的压力或空虚，阅读中国网络文学能带来精神上的愉悦和享受。

4.3 中国网络文学泰译作品及出版机构

目前在泰国从事翻译和出版中国网络文学的主要出版社有：แจมใส่（JAMSAI）、สยาม อินเตอร์บุ๊ค（SIAM INTER BOOK）、อรุณ（Arun）和 ห้องสมุด（Hong Sa Mut）。据作者了解，JAMASI 是泰国最早出版泰译中国网络文学作品的机构。目前，中国网络文学泰译作品数量已经非常多，本文将一部分作品统计列表如下：

表一 部分中国网络文学泰译作品

序号	中文书名	泰文书名	作者	译者	出版社
1	宠妻一下下	จอมใจนายทัพ	乔 安	มดแดง	JamSai
2	出嫁从夫	รักประดับใจ	古 灵	มดแดง	JamSai
3	剃了胡子才洞房	คู่แค้น...แสนหวาน	圆 悦	มดแดง	JamSai
4	盐皇	เล่ห์รักปักใจ	湛 清	มดแดง	JamSai
5	男儿膝上有娘子	ตรารักตรึงใจ	圆 悦	มดแดง	JamSai
6	银一两	ตำรับรักมัดหัวใจ	浅草茉莉	มดแดง	JamSai
7	姑娘报仇三月不晚	แค้นพรางใจ	夏 衣	มดแดง	JamSai
8	换夫格格	ท่านหญิงสลับรัก ชุด ท่านหญิงจอมแก่น	阳光晴子	มดแดง	JamSai
9	格格不甩爷	ท่านหญิงมั่นรัก ชุด ท่านหญิงจอมแก่น	阳光晴子	มดแดง	JamSai
10	格格嫁番王	ท่านหญิงป่วนรัก ชุด ท่านหญิงจอมแก่น	阳光晴子	มดแดง	JamSai
11	一想到你呀	เจ้าทะเลเล่ห์ร้าย	乔 安	มดแดง	JamSai
12	天子弃妃	อดีตลับมายารัก	浅草茉莉	มดแดง	JamSai
13	天子戏琉璃	รักหวนสู่กลางใจ	巫 灵	มดแดง	JamSai
14	福气女史	ปราชญ์หญิงยอดรัก ชุด ตำหนักรักนิรันดร์	卫小游	มดแดง	JamSai
15	皇上说的是	จักรพรรดิบัญชา ชุด ชุด ตำหนักรักนิรันดร์	席 绢	มดแดง	JamSai
16	好一个国舅爷	พระมาตุลาตัวดี ชุด ชุด ตำหนักรักนิรันดร์	于 晴	มดแดง	JamSai
17	逍遥霸王	จอมกษัตริย์เจ้าสำราญ ชุด โอรสสวรรค์ร้อยเล่ห์	董 妮	มดแดง	JamSai
18	冥顽夫君	มนตร์รักจิ๊งจอกขาว ชุด ตำนานรักสองภพ	阳光晴子	เสี่ยวเฟิงหลิง	JamSai
19	木头格格	รอยมนตร์พิสูจน์รัก ชุด ตำนานรักสองภพ	阳光晴子	เสี่ยวเฟิงหลิง	JamSai
20	胖胖皇后	ราชินีตัวร้าย ชุด จอมนางคะนึงหา	阳光晴子	เสี่ยวเฟิงหลิง	JamSai
21	征服假面公主	พิชิตใจองค์หญิงจำแลง	呢 喃	Yin Qian yu	JamSai
22	绝色胭脂王	หนี้วิวาห์ ชุด ปาฏิหาริย์แสงจันทรา	阳光晴子	พริกหอม	JamSai
23	倾家荡产买个九	พรหมลิขิตรัก	圆 悦	ลูกหว้า	JamSai

表一 部分中国网络文学泰译作品(续)

序号	中文书名	泰文书名	作者	译者	出版社
24	冤家真没眼光	กลลวงห้วงรัก	初 蔷	เสี่ยวเฟิงหลิง	JamSai
25	不是夫君真面目	หน้ากากลวง	桔 梗	พวงหยก	JamSai
26	嫁得容易	วิวาห์พาฝัน	乔 安	พวงหยก	JamSai
27	斗二爷	ชิงใจครอบครองรัก ชุด ไข่มุกมังกร	齐 宴	จันทร์กลาง	JamSai
28	耍娇娇	เหลี่ยมเล่ห์ลูกไม้ ชุด ไข่มุกมังกร	齐 宴	จันทร์กลาง	JamSai
29	奴儿甜	สาวใช้แสนหวาน ชุด ไข่มุกมังกร	齐 宴	จันทร์กลาง	JamSai
30	奴儿魅	สาวน้อยพราวเสน่ห์ ชุด ไข่มุกมังกร	齐 宴	จันทร์กลาง	JamSai
31	拎着破鞋来抢亲	บ่วงเสน่หา	圆 悦	หลันเอ๋อร์	JamSai
32	格格别逗了	เจ้าหัวใจจอมบงการ	路可可	ชินโป	JamSai
33	龙王（上）	ราชันมังกร1	典 心	พวงหยก	JamSai
34	龙王（下）	ราชันมังกร2	典 心	พวงหยก	JamSai
35	皇后不乖	สงครามใจ ชุด พรหมลิขิตอลวน	心 宠	กระบี่หลงทิศ	JamSai
36	王爷看走眼	เล่ห์ลวงรัก ชุด พรหมลิขิตอลวน	心 宠	กระบี่หลงทิศ	JamSai
37	金屋藏妃	ชายาลับ ชุด พรหมลิขิตอลวน	心 宠	กระบี่หลงทิศ	JamSai
38	痴心没好报	ซ้อนเงารัก	呢 喃	ธารา	JamSai
39	酒狂	เมารัก	湛 清	หลันเอ๋อร์	JamSai
40	短路小尼姑	ประกายรัก	乔 安	ลูกหว้า	JamSai
41	茶王	เจ้าแห่งชา	湛 清	พริกหอม	JamSai
42	舞伶宠翻天	สลักรัก ชุด โรงน้ำชาพาป่วน	齐 宴	กุ้งแก้ว	JamSai
43	聂十郎	คุณหนูลวงใจ ชุด คุณชายสกุลเนี่ย	于 晴	ปุยเมม	JamSai
44	凤求凰	ผู้ดูแลสอนรัก ชุด คุณชายสกุลเนี่ย	于 晴	ลูกหว้า	JamSai
45	甜妻楚楚	ภรรยาเปรียบดังของหวาน	阳光晴子	ลู่ผิ่งฮวา	JamSai
46	风衷录	ตื่นเสียทีจะไม่มีทายาทแล้ว	天如玉	ถังเจวียน	JamSai
47	唯心而已	แม่ครัวเคี่ยวรัก ชุด คุณชายสกุลเนี่ย	于 晴	พวงหยก	JamSai
48	戏潮女	องครักษ์เคียงคู่ ชุด คุณชายสกุลเนี่ย	于 晴	อวี้	JamSai
49	半城烟沙	แพ็กชุด วาสนามคนเขลา	狂上加狂	เบบี้นาคราช	JamSai
50	百草媚	แพ็กคู่ ยาใจโจรหมอ	苏曼凌	ลู่ผิ่งฮวา	JamSai
51	回到古代当吃货	ชายาประดุจอาหารเลิศรส	艾 佟	เกาลัดเดือนสิบสอง	JamSai
52	新唐遗玉	นวลหยกงาม	三月果	Honey Toast	JamSai
53	张公案	ยอดบุรุษพลิกคดี	大风刮过	หลินหยาง	SiamInterBook
54	庆熹纪事	บันทึกเลือดล้างบัลลังก์แห่งรัชศกชิ่งซี	红猪侠	อรจิรา	SiamInterBook
55	歃血	เลือดพิทักษ์แผ่นดิน	墨 武	ธารยุทธ์	SiamInterBook
56	烽烟尽处	ไฟรักไฟสงคราม	酒 徒	จิระกิตติ์ ลิ้มธันยพงค์	SiamInterBook
57	狼群	ขบวนการหมาป่า	刺 血	เฉินถิงถิง	SiamInterBook
58	芈月传	หมี่เยว่ย์ จอมนางพลิกบัลลังก์	蒋胜男	ดารินทิพย์	SiamInterBook
59	步步惊心	เจาะมิติพิชิตบัลลังก์	桐 华	อรจิรา	SiamInterBook
60	遁能时代	ยอดยุทธ์พิทักษ์พิภพ	莫 仁	หลินหยาง	SiamInterBook
61	异世游	ยอดยุทธ์พิทักษ์พิภพ	莫 仁	หลินหยาง	SiamInterBook
62	五大贼王	ปัญจมหาโจร	张海帆	จิระกิตติ์ ลิ้มธันยพงศ์	SiamInterBook
63	东宫	ตงกงตำหนักบูรพา	匪我思存	ดารินทิพย์	SiamInterBook
64	如懿传	หรูอี้ จอมนางเคียงราชัน	流潋紫	ดารินทิพย์	SiamInterBook
65	魔道祖师	ปรมาจารย์ลัทธิมาร	墨香铜臭	อลิส	Every Book

表一　部分中国网络文学泰译作品(续)

序号	中文书名	泰文书名	作者	译者	出版社
66	人渣反派自救系统	ตัวร้ายอย่างข้า...จะหนีเอาตัวรอดยังไงดี	墨香铜臭	ลาเวนเตอร์	Sense Book
67	大宋北斗司	หน่วยดาวพิฆาตแห่งต้าซ่ง	月 关	ดาบโลหิต	Princess
68	名门医女	บ้านนี้มีหมอเทวดา	希 行	ห้องสมุด	ห้องสมุด
69	江山不悔	ปฐพีไร้อาลัย	丁 墨	หยกน้ำแข็ง	อรุณ
70	盛世风华	เล่ห์รัก	苏小暖	กันตา	อรุณ
71	勿扰飞升	ข้าจะเป็นเซียน	月下蝶影	หยกน้ำแข็ง	อรุณ
72	一手遮天一首捶地	ปิดแผ่นฟ้าทุบปฐพี	容 九	ภวิษย์พร	อรุณ
73	别那么骄傲	อย่ายิ่งนักเลย	随侯珠	ยินดี	อรุณ
74	九嶷	หมิงเหยา องค์หญิงเก้า	桓 宓	ลีลรักษ์	อรุณ
75	美人为馅	ไม่ลืมรักเรา	丁 墨	พันมัย	อรุณ
76	以胖为美	เป็นเช่นข้าสิ...คืองาม	九鹭非香	อาจือ	อรุณ
77	胭脂醉	วุ่นรักมนตรามายาจิ้งจอก	水 合	หยกน้ำแข็ง	อรุณ
78	非你莫属	หนึ่งใจนี้ไว้รักคุณ	桑 玠	กัญญา	อรุณ
93	论以貌取人的下场	ตัดสินคนจากหน้าตาก็ต้องเจอแบบนี้	月下蝶影	ศีตกาล	Rose Publishing
94	小奴才	ทาสรักอ้องโฉด	一雁不成夏	Dandelion	Mee D Publishing
95	灰衣奴	ทาสชุดเทา	彻夜流香	เสี่ยวหลงเปา	Mee D Publishing
96	东君问柳	ไร้เจตนาถามหาหลิว	彻夜流香	เสี่ยวหลงเปา	Mee D Publishing
97	月迷津渡	จันทร์พรายเหนือสายน้ำ	彻夜流香	เสี่ยวหลงเปา	Mee D Publishing
98	欺你成瘾	เพราะไม่เคยรู้ว่ารัก	一雁不成夏	เชียง เชียง	Mee D Publishing
99	漂洋过海中国船	ข้ามฟ้าหารัก	非天夜翔	ซูเชียง	Mee D Publishing
100	相见欢	ราชันคืนบัลลังก์	非天夜翔	Bou Ptrn	Mee D Publishing

4.4 中国网络文学泰译热潮的特点

　　中国网络文学泰译热潮的兴起延续着中国古典文学泰译热潮和中国武侠文学泰译热潮的影响。但也有着自己独特的特点。

　　首先，从文学作品内容的选择上来看，被翻译成泰文的中国网络文学多是以古代社会为背景的言情小说，此外还出现了以男同情爱为主要内容的泰译网络文学作品。其中 JamSai、HongSaMut 和 Arun 出版社泰译的主要以男女情爱为主的言情文学作品，如浅草茉莉著，红蚂蚁译的《天子贵妃》，于晴著，红蚂蚁译《好一个国舅爷》等等。Siam Inter Book 出版社泰译的则多是以武侠为主要内容的中国网络文学作品，如《张公案》、《歃血》等等。这些以古代社会为背景的言情文学作品，以及武侠文学作品的泰译明显受第一次和三次翻译热潮的影响。而 Rose Publishing 和 Mee D Publishing 出版社泰译的主要是以男同情爱为主的言情文学作品，如《灰衣奴》、《千秋》、《圈套》、《谁敢说师兄的坏话》、《一夜情——睡到新老板》等等。这些网络文学作品大多使用了比较流行的网络语言，而且情节跳跃性比较大，文本空白较多，容易使读者发挥想象力，将自己代入书中的情节之中，且写作方式或故事情节的发展比较贴近读者的审美预期。而且在翻译中使用了很多新兴语言和网络语言，所以深受读者的喜爱。

716

其次，从作品的出版发行上来看，泰译中国网络文学作品除了在书店有正式版本的图书发行之外，各大出版社还在自己的官网上推出了试读服务。前三次翻译热潮的翻译作品都是以报纸和纸质书籍的形式出版发行，读者不能进行试读，而现在各个出版社在网络上推出试读服务，读者可以在网上先试读部分内容，如果该书的内容是读者喜欢的，或是读者想继续读下去的，那么读者可以从网上或实体书店进行购买纸质本的图书阅读，这样既节省了读者的时间，也节省了读者的花费。同时能够最大限度地满足读者的阅读需求。

再者，举行线下活动进一步提升读者的阅读感受和满意度。目前泰国诸多出版社开始组建线下的读者俱乐部，定期或不定期举行一些见面会活动。如 JAMSAI 出版社设立有自己的粉丝团，并举办了 JAMSAI+CONVERSTIONTHAILAND 的见面会活动。甚至有些出版社还专门设立了了环境优雅阅读场所，读者可以在那里边喝咖啡，边阅读自己喜爱的作品。读者之间也可以在这里分享自己的阅读感受。这种线下活动进一步提升了读者的阅读满意度和愉悦休闲感受。

最后，泰译中国文学作品版本上看，既有纸质的实体书，又出现了线上电子书。这是以前任何一次翻译热潮时期所没有的。读者可以根据自己的爱好和条件进行选择购买纸质书还是电子书。这不但方便读者，而且也节省了资金，更对泰译中国文学作品的传播起到了推动作用。

5. 研究结果

自曼谷王朝一世王下令翻译《三国》起，中国文学泰译在泰国共经历了三次热潮，即中国古典文学泰译、中国现实主义文学泰译和中国武侠文学泰译。随着网络技术的发展和普及，汉语在泰国的推广，以及中泰两国关系的友好而密切的发展，中国网络文学泰译正在迅速发展，形成中国文学在泰国翻译的第四次热潮。这次热潮既延续了中国古典文学泰译和武侠文学泰译的影响，同时也形成了自己独特的风格特点。在内容上，充分体现了第一次和第三次中国文学泰译热潮的影响，并出现了独特的以男同情爱为主的网络文学作品被翻译成泰文。其次，在出版发行渠道上，也与以前不同，以前都是以报纸和书籍为主要发行渠道，现在则改为以网络和纸质书籍为主要发行渠道，并且出版社在网上推出试读服务，并组织读者见面会或分享阅读体验的线下活动，提高了读者与出版方，翻译者和作者之间的沟通交流，也提高了读者的阅读体验。而且现在除了推出纸质版书籍外，各大出版社还推出了电子书籍，这极大方便了读者购书行为，也节省了购书的时间成本和金钱成本，同时也可以方便读者随时随地阅读。

6. 总结讨论

本文主要以中国网络文学泰译为主要研究对象，运用文献分析和资料梳理的方法，对中国网络文学泰译热潮兴起的原因、作品及特点进行浅显分析研究。中国网络文学泰译正在形成第四次翻译热潮，这次热潮的兴起既有前三次翻译热潮的延续和影响的原因，也有科学技术，特别是网络和智能手机的普及，更有汉语在泰国推广和普及的原因，同时，在国家层面，中泰两国关系友好密切，中国文化在泰国的影响深远而悠久也是第四次热潮兴起的原因所在。但该次翻译热潮还未引起学界的重视和关注。对中国网络文学泰译的研究文章或著作更是绝无仅有。本文对中国网络文学泰译热潮进行简要分析研究，希望能够起到抛砖引玉的作用。使中泰两国学者对中国网络文学泰译热潮进行更系统和深入的研究，更深入更系统地了解中国网络文学泰译的特点、流行趋势以及存在的问题，以及第四次热潮与前三次热潮的联系与区别，以期能够

更深入了解泰国读者的审美特点和阅读需求特征，从而能够促进中国网络文学泰译活动的进一步繁荣发展，促进中国网络文学和文化在泰国的传播。同时为促进中泰两国人民间的文学文化交流做出贡献。

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The Investigation and Analysis on understanding in Chinese Loanwords of Thai students in China

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Abstract

The objectives of this research are to investigate and analyze how Thai students in China understand the Chinese loanwords by comparing the similarities and differences between Chinese and Thai loanwords. A sample was the group of 50 undergraduate students derived from the convenience sampling method by filling the questionnaire voluntarily. The findings revealed that 1) Chinese loanwords have many similarities with Thai loanwords. For example, the origins of both Chinese and Thai loanwords are mainly from English and Japanese Language. However, both of them have many differences as well. For example, the integration method of Chinese loanwords is mainly free-translation, whereas Thai loanwords are mainly transliterated word stand for tone. 2) In daily life, Chinese loanwords are frequently found by Thai students, although most of them do not understand the meaning, integration method and provenance. They can guess the meaning of those Chinese loanwords. And 3) As the Chinese loanwords basically using by free-translation, it is difficult for Thai students who are not proficient in Chinese characters to truly understand Chinese loanwords, and it has a great impact on their study work as well.

泰国留学生对汉语外来词的理解调查分析

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摘要

本文的研究目的是为了了解泰国留学生对汉语外来词的理解情况，在通过考察汉泰语外来词的同异性以及对 50 名泰国留学生进行调查分析后，发现：1）汉语和泰语都存在许多同源外来词，其中汉泰外来词的来源主要是英语、日语等。汉语外来词的吸收方式以意译为主，泰语外来词则主要采用音译的吸收方式。2）泰国留学生在日常生活中经常遇到汉语外来词，虽然大多数都不知道那些词的意思、吸收方式以及来源，但遇到汉语外来词的时候一般都可以猜到它的大概意义。3）由于汉语外来词以意译为主，所以没有熟练掌握汉字的泰国留学生，在遇到汉语外来词时就很难理解，因此是否能熟练掌握汉字对学汉语的泰国留学生有较大的影响。

关键词：外来词；汉语；泰语；泰国留学生

1. 引言

近年来，随着世界一体化的迅速发展变化，汉语在世界上各个方面占有很大的优势。在世界经济、政治形势的推动下，"汉语热"在世界范围内兴起。来中国学习汉语的泰国留学生也日益增多。汉语词汇是泰国留学生学习汉语的难点之一，尤其是在日常生活中经常遇到的汉语外来词。

汉语和泰语都属于汉藏语系，为了丰富自己的词汇，这两种语言在发展进程中都借用和吸收了大量外来词，但由于两国历史和文化等因素的差异，两种语言外来词的分类、吸收方式和使用等方面存在不尽相同的特点。2005 年商务印书馆出版的《现代汉语词典》共收集 65000 条词，1 而 1984 年上海辞书出版的《汉语外来词词典》就收集了 10000 多条汉语外来词，2 可见，汉语外来词大约占了词汇总量的 15%以上。1982 年的《泰语大词典》收集了 37000 条词，泰语外来词的总量大约 6201 条（Saingam Pramuansilchai，1985），3 泰语外来词占词汇总量的 16%以上。从上面的数据可以看出，外来词在汉语和泰语中的比重是大致相当的。尽管汉语和泰语都属于汉藏语系，但是由于两国的历史和文化等差异，对外来词的分类、吸收和使用也存在差异。在吸收外来词的过程中，它们就会显示出自己的特点。汉语外来词的来源主要是英语、日语、梵语、俄语、藏语、蒙古语、契丹语、法语、马来语、德语等。泰语外来词的来源主要是巴利语、梵语、汉语、英语、 高棉语、日语、法语、马来语等，泰语中的汉语外来词也有不少是汉语方言词，主要是潮汕方言词，因为它分布范围比较广，所以成为泰国人日常生活中的常用词语。比如：潮汕话的 "豆腐"，泰语叫 "เต้าหู้ [tau41hu41]"；潮汕话的 "锅铲"，泰语叫 "ตะหลิว [ta21liu24]"；潮汕话的 "功德"，泰语叫 "กงเต็ก [koŋ33te:k55]"等。从汉泰语外来词吸收方式来看，汉语外来词的吸收采用了音译、音译兼意译、意译等多种途径，但以意译为主。泰语外来词的吸收采用了音译、半音半意译、音译加注等多种途径，但以音译为主。有一些同源的外来词，被借入到汉语和泰语时，会产生差别。泰语采用音译方式吸收外来词时会保留原词的特色，变化不大，而汉语在吸收时则发生了一定的变化。此外，还有一些汉泰语外来词是同源的，但是采用了不同的吸收方式。比如：英语的 "Bar"，汉语采用音译加意译方式（酒+bar），成为 "酒吧 ji}b`"，泰语采用音译方式，成为 "บาร์ [ba:33]";来自日语的 "kara-oke" 汉语采用音译加字母词方式，成为 "卡拉 0K k2l`OK"，泰语采用音译方式，成为 "คาราโอเกะ [kha:33ra:33ʔo:33ke21]"；英语的 "Supermarket" 汉语采用意译方式翻译过来为 "超市 ch`osh*"，泰语采用音译方式，成为 "ซูเปอร์มาเก็ต [sup45pɤ:41ma:33ket41]等。同时，两种语言也有一些是同来源同吸收方式的外来词。比如：英语的 "Jeep"，汉语和泰语都采用音译加意译的吸收方式，汉语是 "吉普车 j^p}ch4"（吉普〈音译〉+车〈意译〉），泰语是 "รถจิ๊ป [rot45tɕip45]"（รถ [rot45]是 "车" 的意思〈意译〉+ จิ๊ป [tɕip45]〈音译〉）等。汉语和泰语外来词的来源及其吸收方式既有相同的，也有不同的。所以将两种语言的外来词进行研究，考察泰国留学生对汉语外来词的理解可以加深对两种语言之间外来词特点的理解，有助于汉泰文化交流，促进对外汉语教学的深入开展。此外还有助于泰国学生更有效地学习汉语外来词，并学会辨别母语与外来词的区别，掌握并准确使用外来词，更有益于维护泰国本土语言的纯正。

为了能加深理解汉语和泰语外来词的特点以及两者的同异性，本文在前人研究的基础上将

两种语言的外来词进行对比研究，考察泰国学生理解汉语外来词的情况，分析汉语外来词对泰国学生学习汉语的影响，主要研究方法如下：

1.1 文献研究方法

本文通过广泛的查阅期刊杂志和学术著作及其他文献，借鉴其中有关汉语外来词的研究成果，对汉语外来词进行整理分析，尽可能把握汉语外来词在对外汉语教学的主要内容以及相关理论。

1.2 调查研究法

本文采用调查研究方法，以 50 名泰国留学生为调查对象，对他们学习汉语外来词的情况进行问卷调查。并对结果进行了统计分析。调查内容包含被调查者的基本情况、对汉语外来词的认知以及被调查者能掌握而理解汉语外来词的情况。

2. 汉语和泰语外来词的同异性

汉语和泰语都属于汉藏语系，为了丰富自己的词汇，在他们发展的历史中，都借用和吸收了大量外来词。通过考察大量的文献，汉语和泰语外来词的特点可以归纳如下：

2.1 汉语和泰语外来词的共同性

汉语和泰语都属于汉藏语系，在他们的发展历史中都曾经与其他语言碰撞，而且慢慢接纳了对方的许多词汇，于是本土语言中也就增加了很多的外来词。在历史上，随着佛教的传入，佛教中的巴利语和梵语都影响到他们的词汇系统。除了佛教词语以外，两者还存在了许多相同来源的外来词，如：英语、法语、日语等外来词。在外来词的吸收方法来看，汉语和泰语都有采用音译、意译、音译加意译、字母词等几种方式。 随着全球社会、科技、经济和文化等方面的发展，这使得汉语和泰语不可避免地与国际上其他语言交流，而受到外来词的影响，尤其是英语外来词。目前，西方国家的技术先进对汉语和泰语有很大的影响，大量英语外来词以及拉丁字母词不断地涌入到两种语言的词汇中，影响到人们的日常生活，随处都可以看到英语外来词。大量外来词不但能够扩充两种语言的词汇量，还能够丰富两者的词义彩色填补词汇的空缺。

2.2 汉语和泰语外来词的差异性

汉语和泰语外来词有许多共同性，但由于地理位置、宗教传播和文化等方面的原因，使得两种语言的外来词存在许多差异性。第一，汉语外来词的来源主要是英语、日语、梵语、俄语等；泰语外来词的来源主要是巴利语和梵语、高棉语等。虽然汉语和泰语都曾经受到佛教中的巴利语和梵语的影响，但巴利语和梵语在汉语中不具有普遍性，只是使用与佛教有关的专业词汇而已，一般人不太熟悉，而且到了现在这些词语几乎消失，很少见到；在泰语中，因为泰民族信仰小乘佛教，所以泰语中的巴利语和梵语占据重要的位置，而且从其开始融入到泰语以来就一直运用到今天。第二，在外来词的吸收方式方面，汉语和泰语也存在着较大差异。汉语外来词以意译为主，一般认为，汉语借用外来词语时倾向于意译（杨锡彭，2007），[4] 但据梁盟（2006）的统计，[5] 音译词占的比例却是最多的，为 73.6%，这与《现代汉语词典》的标注有关，相当多

的一些意译词因为汉化程度很高，加之使用时间较长，如"电话"、"电脑"、"录音机""话筒"等意译词，并不必一一标出其语源。但另一方面也说明，音译也是汉语接受外来词的主要形式之一。语言学家史有为(2003) 认为"当一个民族有了稳固的拼音习惯，在外语教育、国际交往方面有了更多更好的发展，并逐步习惯从整体上去认知语词时，他们更有更好的条件去接受音译形式，因此可以预期，21 世纪时，汉语中的音译形式将有较大的增长，同时意译形式的比例将有所下降，但由于汉语汉字的作用，意译仍将保持相对优势的地位。"[6] 这表示，虽然意译词占的比例较低，但由于汉字的认知习惯，意译词仍然处于优势的地位；在泰语中，泰语吸收外来语时主要采用音译方式，因为泰语是音位形语言，泰语的文字是表音文字，所以音译对泰语吸收外来词语更简便。第三，汉语和泰语都存在了许多同源外来词，但有些同源外来词却采用了不同的吸收方式。汉语和泰语借用外来词时都采用过音译方式，但泰语外来词在文字选择上并不像汉语的那么有讲究。 汉语在采用音译法吸收外来词时，更侧重于精心选用汉字，不仅要与来源词读音相近，而且要起到精准或美好的表意作用，如：西德的名车 Benz 译为"笨死"的话，中国人谁都不敢买这辆车了。车名也是一个文化的符号，Benz 中国音译改为"奔驰"，给人产生奔跑速度极快的印象。（王未，2005）[7] 又如："咖喱"和"咖啡"，这两个词采用的音译方式，同时也带有了源词的基本意义，当我们遇到这两个外来词时，一般都可以猜到它是一种食品，因为在汉语中的一些表示食品的词语通常使用"口"字旁来表示基本意义，而泰语却很少对词素进行选择，这可能是因为泰语的文字是拼音文字，泰语的每个字母只能表音不表意，所以直接用与原词相应或相近的读音来代替就可以了，不必考虑到歧义联想或望文生义现象的问题。

近年来，随着世界一体化的迅速发展，汉语在世界各个方面很有竞争力，学习汉语的泰国留学生越来越多。汉语和泰语外来词的差异性及其语言的特点对学习汉语的泰国留学生有很大的影响。两种语言不同的语音系统、不同的吸收方式给泰国留学生学习汉语词汇时带来了很大的困难。

3. 泰国留学生对汉语外来词的理解调查结果分析

笔者发放了 50 份调查问卷，收回了 50 份，占问卷总数 100%，有效的问卷 50 份，占问卷总数 100%。通过了发放调查问卷，笔者获得了一些资料，并把这些资料结合而进行分析，得到了泰国学生学习汉语外来词情况的详细结果。

3.1 调查对象的基本情况

表一 调查对象的基本情况

基本情况	人数（50）	比例（%）
1.性别		
男性	17	34
女性	33	66
2.年龄		
18-25	34	68
26-33	13	16
34-41	3	6

表一 调查对象的基本情况(续)

基本情况	人数（50）	比例（%）
3.在学等级		
本科生	28	66
研究生	20	40
博士生	2	4
4.参加过 HSK 考试		
考过 HSK3 级	3	6
考过 HSK4 级	6	12
考过 HSK5 级	18	36
考过 HSK6 级	14	28
没参加过	9	18

据调查结果发现：本次调查的对象大多数是女生，年龄 18-25 岁，在中国读本科和研究生，大多数学生都参加过汉语水平考试(HSK)。

3.2 泰国留学生对汉语外来词的理解情况

表二 泰国留学生对汉语外来词的理解情况

对汉语外来词的理解情况	人数（50）	比例（%）
1. 在学习汉语的过程中或在日常生活中是否经常遇到汉语外来词？		
经常遇到汉语外来词	24	48
偶尔遇到汉语外来词	22	44
很少遇到汉语外来词	4	8
2. 在哪儿遇到汉语外来词？		
电视	18	36
广告	18	36
报纸	3	6
汉语教材	11	22
3. 在遇到汉语外来词时是否有一些不懂？		
是	43	86
否	7	14
4. 当遇到不认识的汉语外来词时，您是否能猜到它的意义？		
是	34	68
否	16	32
5. 您是否知道您所认识汉语外来词的来源或它的吸收方式？		
是	18	36
否	32	64
6. 对您来说，您认为汉语外来词：		
简单、易懂、容易记忆	13	26
模糊、难懂、很难记忆	37	74
7. 学习汉语时，汉语外来词是否对您的理解有障碍？		
是	35	70
否	15	30

据调查结果可以看出：泰国留学生在日常生活中偶尔或经常遇到汉语外来词。他们遇到汉语外来词的主要来源是电视、广告和汉语教材。当刚遇到汉语外来词时，虽然大多数泰国留学生不知道它的意思，但一般都能猜到那些外来词的意义。对于汉语外来词的来源及其吸收方式，大多数泰国留学生不知道外来词的来源及其吸收方式，而且大部分泰国留学生都认为汉语外来词模糊、很难懂、很难记忆，在他们学习汉语的过程中对汉语外来词的理解有障碍。

3.3 调查对象能掌握而理解汉语外来词的情况

在调查问卷的第三部分中，笔者设计了 60 题试卷（60 分），要求被调查者选择外来词的正确意义。结果如下：

表三 调查对象能掌握而理解汉语外来词的情况

分数（60）	人数（50）	比例（%）
1-10	0	0
11-20	0	0
21-30	7	14
31-40	8	16
41-50	14	28
51-60	21	42
总数	**50**	**100**

在笔者调查的 50 名泰国留学生中，得到 50 分以上的人共有 21 个，占 42%；得到 41-50 分的有 14 个人，占 28%；得到 31-40 分的人有 8 个，占 16%；得到 30 分以下有 7 个人，占 14%。在得到 50 分以上的 21 个人中，有 16 个人参加过汉语水平考试，而得到 5-6 级；同时，在得到 30 分以下的 7 个人，他们都没参加过汉语水平考试，而且都是本科生。笔者认为学生的汉语水平对泰国留学生掌握而理解汉语外来词的能力有较大的影响，因为汉语外来词以意译为主，不能掌握汉字的留学生习得者，在遇到汉语外来词时就很难理解，但汉语水平比较高的留学生习得者对汉字比较熟悉，所以当他们遇到汉语外来词时，就能猜到词的意义。

4. 结语

由于外来词的来源与吸收方式的不同，不同国家的学生在学习汉语外来词时，其难易点也有所不同。不同的语音系统以及借用方式、外来词来源的差异，使得汉语和泰语的外来词存在不同的特点，这就给刚开始学汉语的泰国留学生带来很多困难。泰国留学生在日常生活中都经常遇到汉语外来词，尽管大多数情况下他们都不知道那些词的意思、吸收方式以及来源，但遇到外来词的时候一般都可以猜到词语的意义。由于汉语外来词以意译为主，那些没有熟练掌握汉字的泰国留学生，在遇到汉语外来词时就很难理解，但汉语水平比较高的泰国留学生由于对汉字比较熟悉，掌握较好，当他们遇到汉语外来词时，就很容易猜到词的意义。笔者比较同意"对外汉语词汇教学还要注意到学习对象的不同，注意词汇对比的必要性和重要性。母语和第二

语言的文字形态差别（Orthographic Knowledge）对词汇理解的影响显而易见"（北京语言学会，2004）8 的观点。因为不同国家的学生在学习汉语外来词时，其难易点也有所不同。泰国留学生的母语是泰语，泰语的外来词以音译为主。泰语的文字跟汉字的形态不同，如果将泰国留学生跟日本、韩国留学生比起来，他们的词汇习得水平的差别十分明显，日韩两国留学生对汉字认知、词汇习得的难度远小于泰国留学生。在学习汉语的外来词时，日韩留学生会比泰国留学生更有所理解。笔者认为要学好汉语应该先掌握汉语的词汇，汉语外来词也是汉语词汇的一部分，如果在学习汉语的过程中，泰国留学生能够掌握和理解汉字的话，汉语外来词对他们来说就不会很难了。除此之外，泰语和汉语的外来词还存在着许多差异，将汉语和泰语母语的外来词进行对比，找出它们的同一性以及两种语言的特点，排除母语干扰，会让泰国留学生更有效地掌握汉语外来词汇，自然也就能够帮助学生迅速高效地学好汉语。

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Grammar and Vocabulary in Thai Proficiency Tests for the Beginner: a Case of the 17th to 21st TPA Thai Language Proficiency Tests

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Abstract

According to the object of the examination, Thai language proficiency test is divided into two kinds: for Thai native speaker and foreigner. Thai language proficiency test for foreigner is an important method to measure non-native speaker's Thai language skill. Nowadays there are three organizations that conduct Thai proficiency test which are "Office of the Basic Education Commission", "Chulalongkorn University" and "School of Language and Culture, Technology Promotion Association (Thailand-Japan)." This article is based on listening, writing and reading sections of the 17th to 21st Technology Promotion Association Thai Language Proficiency Tests (TPA Thai Test) in beginning-level as the study scope, to analyze the grammar and vocabulary in these five TPA Thai Proficiency Tests.

Keywords: Thai Proficiency Tests; Beginning-level; Listening; Writing; Reading

泰语初级水平考试的语法和词汇：以泰日经济技术振兴协会付属语言学校泰语初级水平考试第 17-21 届为例

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摘要

泰语水平考试按照考试对象可分为泰国本地人和外籍人士的考试。外籍人士泰语水平考试被引用为测验考者泰语水平的重要手段。目前在泰国泰语水平考试举办单位共有三所，分别为泰国基础教育部、朱拉隆功大学和泰日经济技术振兴协会付属语言学校。本文仅以泰日经济技术振兴协会付属语言学校泰语水平考试（TPA Thai Test）第 17 到 21 届的初级阶段的听力、写作和阅读部分为研究范围，以便分析及阐释这五届泰语水平考试试卷中的语法结构和词汇。

关键词：泰语水平考试；初级；听力；写作；阅读

1. 泰语水平考试基本情况及其研究现状

语言能力测试是检测非母语者外语水平的重要手段之一。泰语水平考试目前在泰国国内共

有三所单位正在推行，可其考试等级的区分、单词范围、语法能力、考试时间以及报名费用等的标准各不相同。

1.1 泰国基础教育教育考试局泰语水平考试

泰国基础教育教育考试局泰语水平考试（以后简称为 TCT）的目的是为了响应 2002 年泰国国家教育法,给对泰语学习有兴趣者的外籍人士提供泰语水平考试服务。TCT 考试共有 6 级，从初级，小学 1-3 年级、小学 4-6 年级、中学 1-3 年级、中学 4-6 年级到大学等级（接近母语者），测验考生的泰语 4 项能力包括听力、阅读、写作和口语。（Office of the Basic Education Commission [OBEC], 2019）

考试形式为一年一次，每年 10 月开始报名，11 月进行考试，报名费为 2,000 泰铢。TCT 考试试卷全用泰文打印，分按照各项能力区分，按考题分等级，从初级到高级，内容难度从易到难的顺序排列。考证在 2 年内有效。

1.2 朱拉隆功大学泰语水平考试

朱拉隆功大学泰语水平考试可以分为母语者泰语水平考试和非泰籍人士泰语水平考试。其外籍人士泰语水平考试（以后简称为 CU-TFL）的考试时间比较有弹性，分别在每个月的周四和周五。考生可以在考试前 2 个星期预约考试时间。CU-TFL 的试卷全是泰文，考试共考 4 项能力，每项能力的报名费不一；听力、阅读和写作各项 500 泰铢，口语 1, 500 泰铢。考卷等级共有 5 等，分别为初学者（Chula Novice）、中级（Chula Intermediate）、高级（Chula Advanced）、优秀级（Chula Superior）和卓越级（Chula Distinguished）。每等级还会有"加（＊）"特殊符号加在后面，以表示该考生的泰语水平能力已超越该等级的标准，但尚未达到下一个标准的要求。（Sirinthorn Thai Language Institute，n.d.）考试证书在 2 年内有效。此外 CU-TFL 还可以在日本、韩国、台湾以及中国云南和广西等地报名参考。

1.3 泰日经济技术振兴协会付属语言学校泰语水平考试

泰日经济技术振兴协会付属语言学校泰语水平考试（以后简称为 TPA 泰语水平考试）至今已有 20 多年举办泰语水平考试经验。1973 年该协会学校已经开设了日语受教的泰语课程，专门给在泰工作的日本人培训。（Penpisut, 2019, p.507）后来也给外人开设了许多日语培训以及对外泰语教学培训等项目。TPA Thai Test 分为 5 个等级：T1 初级、T2 基础、T3 中级、T4 高级和T5 精通等级（接近母语者）。（School of Language and Culture Technology promotion association (Thailand-Japan)[TPA]，2016）其考试形式是一年两次，其考试时间分别在 3 月和 10 月举行，试卷全用泰文打印，仅靠 3 项能力有听力、阅读和写作。考证在 2 年内有效。若按照每项考试的基本信息，可以在表格上统计其异同事项，具体如下：

表一 各项泰语水平考试基本信息对照表

	TCT	**CU-TFL**	**TPA**
考试时间	每年 11 月	每周四和周五	每年 3 月和 10 月
报名费	2,000 泰铢	听力、阅读、写作 500 泰铢；口语 1,500 泰铢	2,000 泰铢
考试地点	喜川登大学	朱拉隆功大学	泰日经济技术振兴协会付属语言学校
可在国外考试	否	是	否
测验能力	听力、阅读、写作、口语	听力、阅读、写作、口语	听力、阅读、写作
等级区分	6 级	5 级	5 级
合不合格区分	否	否	否
打印文字	泰文	泰文	泰文

据上述的基本信息对照表来看，每项考试的等级分别及其命名虽各有所异，但最为明显的共同点是每项考试没有合格或不合格的区分，只会按等级计算成绩。此外，各项考级的等级排列都从初级开始，且卷上的文字全用泰文字母而非国际音标。无论考生想报考哪项泰语水平考试，他们都要先读懂泰文才能做到。此外，在每项考试的初级等级能力说明基本上也有一定的相同之处，具体如下：

表二 各项泰语水平考试初级能力说明信息对照表

	TCT	**CU-TFL**	**TPA**
初级听力	听到信息或简易的问题及句子后可以根据自己的知识和理解回答问题	能够理解常用的短语和结构不复杂的句子或常用的命令用语等	可以阅读和拼写泰语，可以理解初级的单词和语法，可以造出简单不复杂的短句，以表达日常交际用语
初级阅读	阅读与日常生活相关的简易及内容不超过三行的短文和故事后可以根据自己的理解准确地回答问题	熟记泰文标准字体的形式，理解基本词语、短语和句子的意思	
初级写作	可以用泰文简单且准确地写出与日常生活有关的信息，并符合泰语语法和拼写规律。	能用简单的词、词语和简短的没有连词连贯的句子表达信息。	

表上信息已说明，每项考试的初级等级都在测验考生的记性，及其对日常上简单的单词、短语和句子的理解。TCT 和 CU-TFL 的考证对每项能力都有详细的能力说明，唯有 TPA 考试是没有具体区分每项能力的说明。

虽然各项考试每年都有许多外籍人士报名参加，但关于泰语水平考试的研究目前均为罕见。其中之一的理由应该是举办考试单位不外公开试卷，只有泰日经济技术振兴协会付属语言学校原意公开试卷样本（从第 11 届开始）。而目前对 TPA 泰语考试试题的分析和研究也尚未有人做过。因此，本文研究范围仅选用 TPA 泰语水平考试的试卷为对象，次届范围仅在近 3 年内，从 2016 年第 17 届到 2018 年第 21 届为止。

2. TPA 初级水平考题的词汇内容范围及其比率

　　TPA 泰语水平考试共分为 5 个等级，和其它考试单位不同的是 TPA 考试仅考 3 项能力，听力、阅读和写作。卷上的测验顺序为写作、阅读和听力，从写作到阅读考题顺序依序排列，到听力试卷再从新开始计数。写作部分共有 36 题，每小题 1 分；阅读部分共有 34 题，前 24 题每题 1 分，后 10 题每小题 1.5 分；听力部分共有 25 题，每小题 1 分；共 95 题 100 分。写作和阅读共有 90 分钟的考试时间，时间到后继续开始听力考试，时间为 30 分钟，总共使用 120 分钟的考试时间。卷上只有听力部分有明确区分考题等级，而前两个却没有具体区分考题等级，故本文将以听力部分的考试内容、单词范围以及考试的难度作为参考标准，仅对写作的前 5 题和阅读的前 8 题进行分析及研究。以下内容将按照听力、写作和阅读前后排次序。

2.1 TPA 泰语水平考试听力部分

　　听力部分为 TPA 考卷上的最后测验能力，共有 25 题，每项考题停顿 7 秒；第 1－5 题为初级等级；第 6－10 题为基础等级；第 11－15 题为中级等级；第 16－20 题为高级等级；第 21－25 题为接近母语者等级。因听力测验的等级区分比较明确，本文仅对进 5 届考题的听力测验第 1－5 题进行研究。

　　初级听力考题范围若按其内容来区分可以分为 9 项内容有星期、月份、饮食、地点、价格、时间、数字、国籍和活动，具体如下：

表三 TPA 泰语初级听力考试（第 17-21 届）内容范围频率对照表

内容/ 考届	星期	月份	饮食	地点	价格	时间	次数	国籍	活动
17	●	●	●	●	●				
18	●	●		●		●	●		
19	●		●	●●		●			
20		●	●	●		●		●	
21	●	●	●			●			●

　　初级听力试卷中的内容范围相当多，从 5 届的考题来看，内容出现率比较频繁的有星期、月份、饮食、地点和时间，可算为总体内容的 80%，其中只有第 19 届出现两次关于地点的考题（TPA, 2017），而其它内容如价格、次数、国籍和活动等的出现率不高，可算为总体内容的 20%。TPA 考题关于星期的提问常以真实情况为题目。第 17 届的水平考试考试日期定为 2019 年 10 月 9 日星期天，而听力第一考题问道"เมื่อวานนี้วันอะไร"（昨天是星期几？）考生需要根据真实情况回答，此项答案就是"วันเสาร์"（星期六）。（TPA，2016，p.1）若把考题的题目和答案来分析可发现初级听力共有 95 个单词，按词性分别为 56 个名词、2 个代词、14 个动词、9 个动词、4 个量词、5 个形容词、2 个助动词和 3 个副词。至于听力部分的语法结构将于第 3 大题详细解释。

2.2 TPA 泰语水平考试写作部分

　　写作能力测验为 TPA 考试的第一项测验。考试题目从初级到高级按题目顺序区分难度。前 5 题为选择填空题，主要测验考生的拼写能力，让考生选出能填写在填空的空格上且不让意

思有变化。这是看考生能否选用准确拼写的单词。据泰语语音系统和拼写规范的特点，泰语拼写字形会出现元音变体和省略、尾音同音但做尾音的字母不同、多尾音单词、前引字及特殊写法等。这 5 届的写作考题出现的全都是拼写（拼词）的准确性，说明考生必须要把握好泰语基本的语音系统及其写法规则。考生不仅要对单词理解，还要知道该词是如何拼写，如：第 18 届的第 4 题（TPA，2017，p.1）：

"เขาไปออกกำลังกายทุกวัน................."（他每……出去锻炼。）

选项答案全星期二，可其写法在尾音上各不相同，按顺序可分为：

"อังคาร"、"อังคาน"、"อันคาร"和"อันคาณ"。
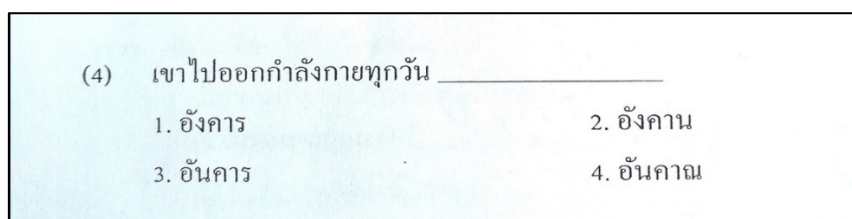
图一 TPA 泰语写作考试第 18 届第 4 个考题

若按考试内容范围来区分，第 17–21 届的初级写作考卷的内容范围有时间、地点、星期、月份、方向、命令句、和饮食等。据考题形式可以看出，从第 17–20 届的考题上，选项题全部为同一个单词不同尾音，其中只有一项设为拼写正确测验。而第 21 届的考题只有第 1 和第 5 题为同词不同尾音（TPA，2018，p.1）如第一考题：

"เดือนหน้าพ่อจะซื้อ...... กันใหม่"（下个月爸爸将买一辆新……）

选项提全为"车"，可其尾音不同，按顺序为：

"รถ"、"รด"、"รฐ"和"รด"

根据考题选项我们可以把测验范围分成 5 个写作能力有尾音、特殊写法、前引字、假复合辅音以及考生对词语和句子的理解。具体如表下所示：

表四 TPA 泰语初级写作考试（第 17-21 届）考题测验范围信息表

考验主题	考验事项	考题 （考届.考题）	占总题百分比
尾音	尾音同音不同字	17.1；18.4；18.5；19.3；19.4；19.5；20.1；20.2；21.1	36%
	多尾音和不发音符号	17.4；18.2；19.2	12%
	发短音"a"但不标"-ะ"符号的写法	17.3	4%
特殊写法	"รร"作为"-ะ"元音的写法	20.5	4%
	"บ"的特殊读音和写法	20.4	4%
	"ๆ"简写符号	19.1	4%
前引字	发音前引字	17.2；18.3	8%
	不发音前引字	20.3	4%
	前引字和低辅音的区别	17.5	4%
假复合辅音	"ทร"假复合辅音	18.1	4%
对词和句子的理解	词语理解	21.2；21.3；21.4	12%
	句子理解	21.5	4%

据表上信息所示，我们可以看出写作考题的测验都是拼写规则的理解。其中出现最多的为尾音同音不同字的考验，占研究范围总题的 36%，而其它比率虽小，但据考试范围来看考生必须要先了解和熟悉泰语语音系统及其基本的拼写和拼读规则才能做出这几项考题。但从写作考题的词汇范围来看，第 17-21 届的考试词汇范围有星期、月份、地点、味道、职业、课堂用语、出行、电话和形容词等方面。

2.3 TPA 泰语水平考试阅读部分

阅读能力测验为 TPA 泰语水平考试的第二部分。阅读试卷从第 37 题开始到第 70 题，考试内容没有具体区分等级先，仅从易到难安排顺序。试卷的前 4 题（第 37–40 题）为测验单词的正确读音；第 41–44 题为阅读简单句子并回答问题，内容范围涉及到时间表达、星期、月份、购物、约会、路边和场景上看到的广告牌和警示牌等；第 45–48 也是测验单词的正确读音，但词汇拼写的难度相当提高；第 49–50 也是阅读句子并回答问题，其内容更加复杂，多为复合句等；第 51–52 题为阅读对话并填写正确的句子答案；第 53–70 题都是阅读短文并根据理解回答问题，考题难度从易到难排列。根据本文的研究范围，本文仅从阅读部分的前两个部分，第 37–40 题的单词正确读音和第 41–44 题的阅读句子回答问题为研究范围。

据第 17–21 届 TPA 阅读的考题来看，每届考题的前 4 题都是测验读音准确的，考验范围可分为 5 项有特殊读法、清浊尾音读法、前引字、复合辅音和假复辅音。具体考验事项及其出现频率百分比可以参看表五信息：

表五 TPA 泰语初级阅读考试（第 17-21 届）第 37–40 题考试范围信息表

考验范围	详细内容	出现频率	占总题百分比
特殊读法	读音自带前引规律却非前引字	2	2.5%
	"รร"作"-ะ"的读音	1	1.25%
	"บ"特舒服法	1	1.25%
	辅音带"-ะ"音却没有出现"-ะ"符号	6	7.5%
	尾音再读的音	6	7.5%
清浊尾音读音	8 组不同的清尾音和浊尾音	22	27.5%
前引字	发音和不发音前引字	20	25%
复合辅音	"ร"、"ล"和"ว"	17	21.25%
假复辅音	"ทร"、"สร"	5	6.25%

据表上信息显示初级阅读考题出现最多的考验内容为请浊尾音读音，占阅读所有研究总题的 27.5%，仅次者为前引字音和复合辅音，占总题的比率为 25% 和 21.25%。这根据泰语尾音的特点，同尾音可以有不同字母做尾音，如清尾音"-n"有辅音"ญ, น, ณ, ร, ล 和 ฬ"6 个辅音可以作其尾音等。而前引字和复合辅音也是泰语词汇中经常出现的，在此不再赘述。第 37–40 题出现的词汇包括星期、月份、时间、地点和饮食等。

第 41–44 题阅读句子回答问题的考题可以根据内容范围分为 5 项，有时间、星期、月份、

场景用语和重要场景上经常看到的警示牌，具体如表六展示：

表六 TPA 泰语初级阅读考试（第 17-21 届）第 41 – 44 题考试范围信息表

考验范围	考题（考届.考题）	占总题百分比
时间	17.41, 19.42, 20.42, 21.42	20%
星期	18.41, 21.44	10%
月份	17.42, 18.42, 20.41, 21.41	20%
场景用语	17.44, 18.44, 19.41	15%
场景常见的警示牌	17.43, 18.43, 19.43, 19.44, 20.43, 20.44, 21.43	35%

表上信息显示初级阅读考试，阅读句子回答问题部分经常出现的试题内容是关于场景常见的警示牌，占所有研究总题的 35% ，而其它的试题若没有根据内容区分，还可以默认为场景常见的贴士，如第 20 届的第 42 题题目为"เปิด 24 ชม."（24 小时营业）（TPA，2018，p.10）该题虽然问道的是时间理解，可这样的话语也智慧出现在"24 小时营业的场所"如超市等。第 21 届的第 41 题题目为"ร้านหยุดช่วงสิ้นปี"（本店年底休息）。虽然题目考验的是考生对"年底"的理解，但这种话语也应该在店铺上挂着，而非书面上或其他场景能看到的信息。

3. TPA 初级水平考题内容范围、语法结构及词汇分析

对于初级阶段第二外语学习来说词汇和语法皆为学者最重要的基本能力。词汇和语法对学习外语的人来说就如同砖石、柱梁和横梁一样，若砖石的数量不充足，柱梁和横梁结构不能搭起来。这样外语的"家"也很难造成。外语初级水平考试的词汇和语法结构也应该符合初级教材选用的单词和语法。

泰国诗纳卡琳威洛大学泰语及东方语言学系副教授 Rungrudee Plaengsorn 曾在 2011 年做过一项关于外籍人士基础泰语词汇的研究，发现外籍人士基础泰语词汇量总有 1,951 字，比较符合新西兰语言学家斯科特·索恩伯里基础等级的 2,000 个词汇量的说法。（Rungrudee，2011）

根据 TPA 第 17 – 21 届泰语水平考试的听力、写作和阅读初级阶段来看，考验的词汇范围共有 15 类，词汇量共有 272 个字，具体如下：

表七 TPA 泰语初级听力、写作和阅读考试（第 17-21 届）考题词汇范围和数量信息表

考题	词汇范围	词汇量
第 17 – 21 届听力、写作和阅读试题出现的词汇范围	星期、月份、时间、地点、味道、饮食、国籍、次数、出行、问路、打招呼、警示牌、电话、场景用语、课堂用语。	272 字

TPA 泰语初级听力、写作和阅读考试的语法结构因测验能力不同，每项能力的考验也有一定的区别。本文将根据考试部分排列出来，在听力能力方面将按照斯科特·索恩伯里对语法定义

的范围，仅在句子层次进行分析。而在写作和阅读部分将根据泰语拼写和拼读规则区分，具体如表下：

表八 TPA 泰语初级听力、写作和阅读考试（第 17-21 届）考题语法结构范围及数量信息表

考题	语法结构	总量
第 17 – 21 届听力试题	星期和月份： A＋ 这/上/下 ＋A＋ 什么？ A＋ 这 ＋A＋ 关系数次 ＋ 多少 ？ A＋ 关系数次 ＋ 多少 饮食： 名词 ＋ 形容词 ＋ 是吗？ 吃 ＋ 味道 ＋ 可以吗？ 不太 ＋ 形容词 不 ＋ 形容词 形容词 ＋ 很（非常、最） 要 ＋ （菜/饮料）什么 ＋ 好呢？ 要 ＋ 名词 ＋ 数量 ＋ 量词 地点： 地点 ＋ 在 ＋ 哪儿？ 地点 ＋ 在 ＋ 介词 ＋ 地点 在 ＋ 介词 ＋ 地点 1＋ 和 ＋ 地点 2 时间： 现在几点了？ 价格： 名词 ＋ 量词 ＋ 每个 ＋ 多少钱？ 次数： 名词 ＋ 每个 ＋ 几 ＋ 量词 国籍： A 是 B 是吗？ 活动： （主语）＋ 正在 ＋ 动词 ＋（什么）	18 个
第 17 – 21 届写作试题	尾音 特殊写法 前引字 假复合辅音 考生对词语和句子的理解	5 个
第 17 – 21 届阅读试题	特殊读法 清浊尾音读法 前引字 复合辅音 假复辅音	5 个

　　TPA 考题听力部分根据 8 个话题范围可共有 18 个语法。其中关于时间的内容没有把 6 小时制不同的时间"点"的表达包括在内。在写作和阅读部分，TPA 初级考题主要测验考生对拼写和拼读的基本能力，且单词范围基本上相当一致，基本上可以归到上述分类的词汇。但在写作部分也有少数的词语或许仅用来考验其读音，因此没有归纳在内。

4. 总结

　　虽然至今泰语水平考试尚未统一使用一个标准，但根据本次研究可发现，TPA 泰语初级听力、阅读和写作水平考试的语法和词汇范围虽量不多，但基本上已经包括了初级学者应该学到的内容。据研究所述 TPA 泰语初级考试共有 28 个语法结构和 272 个词汇量，词汇范围可以归为 15 类。若以后对外泰语教材的编写也考虑到把这些词汇和语法结构都包括在内，那学者在最后的学习结果也应该可以考到理想的成绩。

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Lost in Space; A Critical Perspective about the Service Sector's Volatile Transition

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Abstract

As economic history shows, the global industry has experienced many ascending and descending periods that attest to its stable, but still non-transparent status. The over-publicized, "three-sector-theory" is still in use although almost 80 years have passed by since its foundation. Why can't economists simply adjust to the rapidly changing business environment? On the heels of rapid technological development, the service sector's subsequent smooth transition is almost inconceivable. This research attempts to determine: How concise is the transformation of the industry sectors, especially of the services sector? The unpredictable service industry and the uncertainty among economic analysts has been the indicator for this research. Data is verified and supported to receive a more accurate picture about the service industry's economic position, and how it managed its shift within the economic sectors. A new revised four-sector approach tries to draw attention to the outdated and imbalanced economic theory, and offers new, modernized ways to overcome the service sector's present challenges.

Keywords: economic history, economic sectors, service industry

1. Introduction

The past several decades have shaped the actual position of today's global market. Growing population, high-speed technological development and the subsequent globalization were significant to achieve such levels of economic development where the intangible goods producing market could precede the agriculture and manufacturing industry. This sudden shift resulted in unanticipated difficulties with which national and international markets and market players have had apparently problems to conquer. This research analysis should draw attention to some of the major challenges which the global economic market is momentarily facing and suggest a viable approach to avoid future related uncertainty among all global players alike. In order to reach the objective, the secondary research method used here serves as a point of departure from previous studies for gathering valuable information. Where it is accessible, data in the form of tables and figures intensifies the present and future relevant economic concerns that were and still are the output of global market evolution. Supposing that all revolutionary technological eruption's side-effect is the vicious cycle of globalization, than stable and emerging markets will need to find a solution to reduce tension in the already uncertain domains

of the service industry, and trying to stabilize the global value chain. Although the service industry's contribution is around 60% of the global Gross Domestic Product (GDP), and with that it is the leading industry sector, there is a high probability that due to its volatile transition it is and will stay, lost in space.

2. Literature review

2.1 Background

Kuznets [1] explicates in his lecture "Modern economic Growth: Findings and Reflections" that the industry's structural change in consequence of Modern Economic Growth (MEG) necessitates a country's persistent but receptive political and social structure. In addition, the shift from a tangible to an intangible assets oriented market economy indicated the dawn of a human knowledge driven productivity industry within a society and ideology.

This paper explores, analyses, and accentuates the economic importance and growth of the interminable tertiary sector with an emphasis on its importance regarding statistical data analysis. Furthermore, it highlights concerns associated with the lack of future related available data, catechizes the new directions of globalization, and criticizes the shady position of the tertiary industry sector.

In agreement with Gita Gopinath [2], the economic counselor of the International Monetary Fund (IMF), the last decades' global economic instability procreated a casual nexus among major market players resulting in an unstable and alerting world GDP growth.

Figure 1: Global GDP growth 1980-present. Data from Real GDP Growth Annual Percent Change by International Monetary Fund (2019).

As shown in Figure 1 [3], the last decade's (2008-2019) US-China trade tensions, the macroeconomic pressure in Argentina and Turkey, Germany's destabilized auto industry, China's tough credit policies, and the advanced economies' antagonisms were just

foreshadowing the future's approaching challenges. It is apparent that developing, emerging markets (China, India, Brazil, Russia and South Africa) recovered faster from the global economic crisis, consequently had a conspicuous GDP growth of 4.5% over advanced, consistent economies (North America, Australia, Europe, Japan) at 2.3 % in 2018. Moreover, Figure 1 also indicates a risky and uncertain global economy tendency for all influential market players alike. Therefore, the United Nation's January publication of the World Economic Situation and Prospects 2019 [4] suggests that policymakers must proceed with their continuous progress creating a more stable "long-term development strategy to meet the economic, social and environmental goals of tomorrow". Furthermore, the IMF's World Economic Outlook report 2019 [2] discusses dominant economic indicators, such as the state of economy, demographics, and policy which actuated not only the already inconsistent economy's aggrandizement and approach, but also had a tremendous impact on the within existent subsidiaries. In general, they all interacted and are predominant indicators of today's global economic ontogenesis.

According to the works of Fisher et al. [5] (1935-1945) the latter mentioned subsidiaries can be divided into three fundamental sectors: primary, secondary, and tertiary industry segments. The primary sector is associated with mining, fishing, agriculture, together with the packaging and processing of raw materials. The secondary sector is relatable to the manufacturing industry, and the tertiary sector's alternative identifier is the service industry which supplies intangible products and services to the community and to businesses.

Schettkat and Yocarini [6] summarize the so-called 'three economic gurus' hypothesis, whereby the service sector emerges as a consequence of productivity growth within the primary and the secondary sectors. They argue that this three dimensional theorem can only be attained by economically stable countries with high revenues. Although this revolutionary concept gained enormous popularity, it generated an indistinct and inconclusive rationale within economic means.

The idea of the developing economy's close observation followed by a subsequent adjustment of the three-sector theory has been a 'thorn in the flesh' for many academics and for a long period of time. One of the latter mentioned academics is Zoltan Kenessey [7], an internationally renowned statistician and leader in the field of statistics, who indicates that as a consequence of the 20th century's precipitous economic shift, resulting from technological boom and globalization, numerous economists came to terms indicating that Fisher et al. disproportionally emphasized the tertiary sector's concept and a revision would be indispensable. Although the three-sector theory is not only popular, but still extensively used by 'economists and political economists', Kenessey's philosophy thrived by searching for a better, more consistent, reliable,

and up to date business approach.

Taking Kenessey's revolutionary doctrine into consideration, Schafran et al. [8] investigated a new and revised critique of the three-sector theory with reference to the dominating service sector and its wide-reaching integral parts. The idea was to separate the tertiary sector, by breaking down its components pursuant to their characteristics.
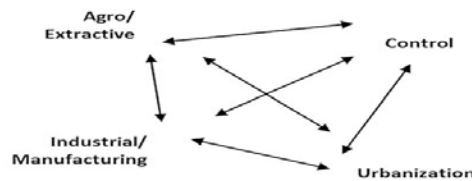
Figure 2: The Reorganized Four-Sector Approach.
Data from Replacing the services sector and three-sector theory: Urbanization and control as economic sectors by Schafran, A., McDonald, C., Lopez Morales, E., Akyelken, N., & Acuto, M., (2018).

The modernized structure in Figure 2 shows the initiators' particular method of categorizing the determinant economic factors. The updated strategic plan provides a more transparent and refined economic approach in addition to a more reliable data-acquisition method.

2.2 *The Tertiary sector*

As discussed in the first section, economists realized the necessity of the economic sectors' dissection for a better data analysis; unfortunately, its application is still not a worldwide habitus within the business community. Researchers showed evidence that the postwar era yielded in an economic upswing which resulted in the shift from agriculture to manufacturing. In developed countries, the technological breakthrough led to the spring of a service- driven economy. Powell and Snellman [9] refer to this service-driven economy as the knowledge intensive part. They criticize the insufficient research input into the already annual expanding knowledge based production industry. Additionally - and presumably the most concerning matter - is the controversy in identifying the actual definition of this continuously changing domain. There are many conventional definitions available, but it is Vargo and Lusch's [10] interpretation that identifies such a difficult, large-scale category and amplifies the mainstream notion, "We define *service* as the application of specialized competencies (knowledge and skills), through deeds, processes, and performances for the benefit of another entity or the entity itself."

As reported by the OECD [11], in most countries the service industry represents a substantial part of the economic development and has a growing tendency for developed and developing nations alike. Given that the knowledge sector establishes the topmost employment

opportunities in the industry [12], Poole and Wood [13] observed a lack of fundamental verifications of global and local data that would support the service sub sectors' up to date advancements. The service sector covers a broad spectrum; the World Trade Organization (WTO) [14] distinguishes between fifteen sub-sectors. However, the consistently changing business environment reshapes the expanding tertiary field by generating an ever-increasing 'open window' for new market prospects. According to senior economist Erik van der Marel [15], the fast-paced growth of this particular industry segment would require a better understanding of its productivity to prevent destructive restriction policies suppress economic growth. Peña et al [16] as well as Education International [17] warn about destructive restriction policies set by the General Agreement on Trade in Services (GATS), arguing that these liberalizations would provoke curtail in all service industry sub-sectors. Van der Marel [15] identifies some regulatory service barriers for necessary while for other elements it causes a reverse effect on productivity growth. He claims that the barriers should be set on a domestic level since countries potentially vary in the capability of dealing with new regulations, and simultaneously raises the question how the services markets are controlled after the transformation period in the interest of commencing a sustainable and competitive national development for the future.

Previously to Schafran et al.'s evolutionary concept, Gottman in 1961 [18] was already conscious of the 'new avenues', understood the challenges of urbanization and with that the problematic, but necessary shift of the service sector towards a quaternary/information sector. Over a decade later, in 1977, Abler and Adams [19] enclosed even a quinary sector separating local authorities, the national government and other public bodies from the information sector, arguing with the growth of the intangible product service industry and their permanently ascending contribution to the national income. Unfortunately, none of these ideas could please or be anchored within the business community.

2.3 The Pacman effect

Following the footsteps of Schafran et al., this research suggests that aside from the service sector, all three industry segments' concepts should be reformulated according to a more contemporary scheme. Pursuant to the "old" "Pacman-stratagem", as reflected in Figure 3, the tertiary industry's unanticipated propagation brought forth not only, as suggested by the OECD's (Organization for Economic Cooperation and Development) council meeting [20], new and reformed labor markets, enhanced employment, and productivity rates, but had also a tremendous influence on the primary and secondary sectors.

Figure 3: The Pacman effect. Data from Lost in Space; A Critical Perspective about the Service Sector's Volatile Transition by Nyiri, P. & Tsai, C-H., (2020).

As an impact of the tertiary sector's sudden growth, both of the labor-intensive industry segments confronted times of difficulties. The ongoing new dark ages in the primary sector reflects poverty and inequality. The FAO (Food and Agriculture Organization) [21] emphasizes the past decades extreme and persistent difficulties. The trends are alarming in the manufacturing industry as well. Celasun and Gruss [22] reason that the structural transubstantiation in the secondary sector triggered an anticatalyst reaction in productivity and income which finally led to the closure of many factories.

There is a sort of agreement with the FAO's and Celasun & Gruss' research, but this paper suggests that the continuous globalization process and the steadily developing technology offers enough opportunities for all industry segments to stabilize. The revised version of the modus operandi proposes a new way to examine the economic sectors' future.

Table 1 substitutes with the Asterisk sign the ISIC (International Standard Industrial Classification of All Economic Activities) [23] presented, detailed and classified data for business sectors that can be applied for calculating statistical values for economic development.

Table 1 The Revised Four-Sector Approach

Agro/Extractive sector	Manufacturing sector	Service sector					*Research*
* *Wind & sun power*	* *Clean technologies & Renewable energy facilities*	* *Health*			*Education*		
Hydroelectric power		*Curable*	*Incurable*	*Public*	*Private*		
Geothermal energy							
Tidal and wave energy							

Note. Reprinted from "Lost in Space; A Critical Perspective about the Service Sector's Volatile Transition" by Nyiri, P. & Tsai, C-H., (2020).
* "International Standard Industrial Classification of All Economic Activities (ISIC)" by United Nations Statistical Division, 2008, United Nations Publications, No. 4.

Text shown in italics implies that those categories were incorporated by this research's authors. The research sector as a new aspect is included for a better overview and controllability of all

research related fields.

Similar to the three-sector theory, Table 1 can be utilized for calculating each sector's percentual value of the total economy to measure economic growth. Table 1 displays in the extracting and manufacturing sectors "new", clean energy possibilities that could not only strengthen their decreasing value, but could also contribute to global warming at the same time [24]. This four-sector theory is a proposal and a support for the business society 'to explore new avenues' from the 21st century ongoing. It also wishes to mitigate the last decade's industrial tensions by attempting to decipher education and healthcare in expectation of a more transparent and result-oriented output.

2.4 Education

Parallel to the outstanding achievements of the intangible goods-providing industry, enhanced research and regulatory policy modifications are obligatory to avoid higher education's profit-centered commercialization and privatization [25]. Therefore, the "Revised Four-Sector Approach" urges the ranking institutions' resolution on an international level in order to preclude the possibility of bribery by corrupted entities. Furthermore, the present study encourages higher education to entrust a unified and internationally recognized independent party, in developed and developing countries alike, to create a united academic standard for all examination procedures parallel in the public and the private sectors.

2.5 Healthcare

A problem addressed research in healthcare is obligatory to balance statutory requirements as well as technology and patient care services [11]. More than that, WHO's seventy-second world health assembly in April 2019 [26] emphasized the establishment of new, but feasible global strategic frameworks with respect to a contributory and sustainable resolution to health and environment. According to the WHO [27], health expenditures increased between 2000 and 2016, and are 2.6% of the total global GDP. This growth can be attributable to many reasons. Nevertheless, for this research not the "Why?" is decisive, but rather the "How". How can healthcare's value be measured? As reported by Philips' news center [28], access, satisfaction, and efficiency are the new worldwide indicators to evaluate healthcare's progress. This state-of-the-art measure tool is indisputable an utmost useful program, regrettably it doesn't focus on factual costs, prescription control in particular, and on the length of individual treatments. Additionally, separating curable from the incurable diseases could give a better synopsis of the cost factors. Finally, the strength of healthcare lays in its future technological amplifications, in "precision diagnosis", through the use of AI (artificial intelligence) [29], Telehealth, and Value

Measure software.

2.6 *The persisting globalization*

Evidently, all business sectors are in a continuous shift creating an almost incomprehensible and opaque picture of global trade and value chains. Lund et al [30] highlights in a recent publication that a stronger demand, especially in emerging-market countries with China being the key economy, constituted an ongoing transition in globalization, restructuring the current course of international trade and value chains challenging the global economy anew. While business representatives are still struggling with regulatory frameworks, restriction policies or combatting WTO's GATS and the OECD's Services Trade Restrictiveness Index (STRI) [31] trying to form their political, social and economic obligations, Marchetti and Mavroidis [32] signifies the inadequacy to discuss future approaches in terms of better trade liberalization and the foundation of a more transparent sectorial mechanism, first and foremost the crucial area of the service sectors. Lund et al, as well as Marchetti and Mavroidis, acknowledged the certainty about the depreciated function of all service sub sectors within the global value chains. Figure 3 [33], and Figure 4 [34] scales the pertinence of the service sector verses the goods-manufacturing industry and forms a clear comprehension of its future relevance in the supply chain.
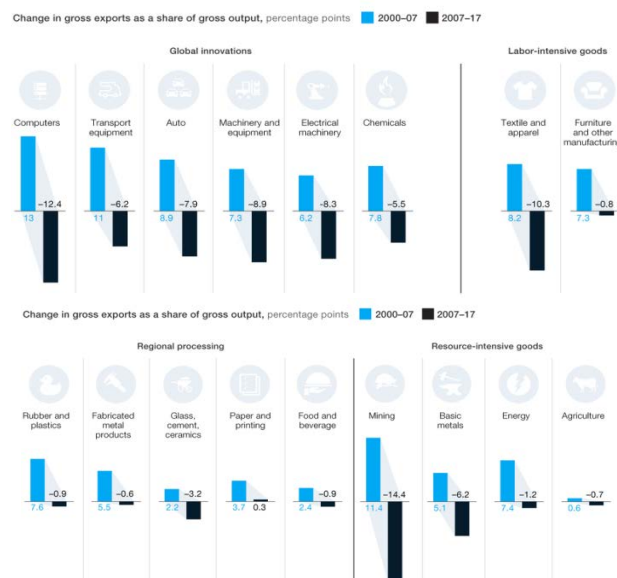
Figure 3. Trade intensity of the goods-manufacturing industry.
Data from Globalization in transition: The future of trade and value chains by McKinsey & Company (2019).

As a consequence of globalization, trade was prospering. Nevertheless, 2007 onward trade intensity and global trade volume growth was declining in many major goods-producing sectors.

The swift change as such is not an indicator of globalization's downfall, but rather a prognostic of distinct economic adaptations. These substantial changes might reflect the developing economies' enhanced participation within the global value chain, highlighting China's consumption and production ratio, or even address political and social difficulties, trade restrictions, and economic transformation.
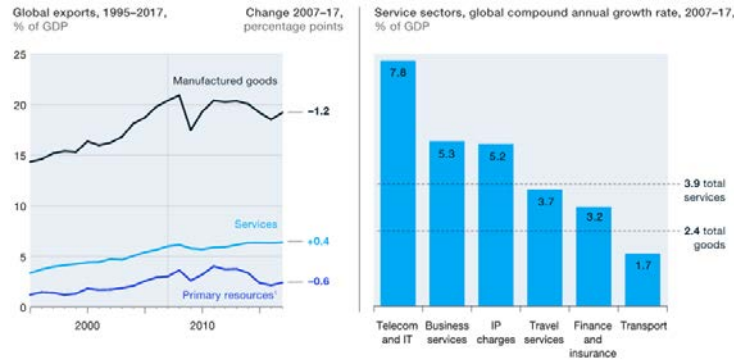
Figure 4: Service sector's annual growth rate.
Data from Corporate Performance Analytics by McKinsey & Company (2019).

Whereas the global trade share in goods is diminishing, particular service sectors perform an impressive uprising tendency. Figure 3 proves not only the excellent performance of specific service sub-sectors, but draws attention to its approaching significance and questions the fact whether or not economists might underestimate its true value. Hence the confusion within the tertiary sector, globalization is assiduous and continues its progress on new geographical territories whilst constant technological evolution creates new ways for economic progress pressuring companies on their competitive playgrounds. Due to globalization's ongoing transition Lund et al [33] sees five emerging barriers to conquer in the near future:

1. shift within the value chain,
2. global demand shift due to developing countries entry in the value chain,
3. further decrease of global trade intensity on account of China and the developing countries,
4. technological innovations' goods value-modification, and
5. market players' strategies reassessment.

3. Conclusion

It is unquestionable that economic development is currently reshaping the global value chain allowing the economy to embrace new forms in local and international market sections alike. Continuous research in all three business sectors, especially in the service industry and its sub categories, are necessary to promote a competitive, healthy, and satisfied global economic community. Constant debates about the extension of the industry sectors, as well as the

solicitation of the quaternary and quinary sections, became useful over the past decade. Taking into consideration that the concept of the "three-sector theory" has a history of almost a century, this research's investigation demonstrated that the continuous technological development and globalization created an unbalanced and fragile economic theory. To answer this research's indicator, "How concise was the transformation of the industry sectors, especially of the services sector?", the research was successful. The structural transformation of the industry sectors was and still is not concise. On the contrary, it is a time consuming and indefinite perpetual industrial alteration. At present the center of attention should be the developing market economies since these countries supply globalization's next chapter. The incessant technological thrive will assure new market entrants while global competition will continue to thrive focusing on how to deliver the optimum product to customers. Therewith, the service industry is foreseen to run on terra incognita. It is controversial whether or not the service industry vanquished the last decades' shift. Nevertheless, research indicates that it is still struggling with identifying its main territory and is indeed 'lost in space'.

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Exploring the Factors Influencing Outbound Chinese Tourists' Selection of Group Package Tour: The Case of Second and Third-Tier Cities in China

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Abstract

The aim of this research is to examine the important factors influencing Chinese tourists' selection of group package tours. Based on a survey of 508 respondents, seven factors were derived from 50 attributes by using factor analysis: shopping arrangement and optional tour; group tour leader/local guide; pricing and promotion; transportation and accommodation; reputation and customer care of travel agency; itinerary arrangement and attractions; the ease of booking and mobile payment. Moreover, the relationships among demographic characteristics and the seven factors were examined. Results of independent t-test and one-way ANOVA showed that seven derived selection factors of package tours were found to have significant differences in relation to four demographic profiles of respondents: gender, age, marital status, monthly income level .

Keywords: Group package tours, Outbound Chinese tourists, Selection factors, Second and third-tier cities

1. Introduction

Along with its prosperous economy, increasing disposable incomes of middle class, fewer visa restrictions, better exchange rates and more international flights provided, Outbound tourism market has experienced a huge growth with enormous potential in China [1]. According to statistics from the Ministry of Culture and Tourism of China   [2], China has become the world's largest outbound tourism market Since 2012. During eight years from 2012 to 2018, the number of China's outbound tourists increased rapidly at an average of annual rate of 7.5%. The number of outbound trips has reached 149 million in 2018, up 14.7% from 129 million in 2017. Mainland China has already become the biggest inbound tourist's source for many countries or areas such as Cambodia, Thailand, Taiwan, Russia, South Korea, Vietnam, Japan, and so on.

Despite independent outbound travel are a trend in the world, Chinese tourists still prefer group package tours, especially tourists from China's second and third-tier cities or regions. According to a newest report published by Chinese tourism academy, 42% tourists choose

individual tour, 55.24% outbound Chinese tourists choose group package tour. Especially, for tourists from second and third-tier cities and regions (Chengdu, Chongqing, Kunming, Hangzhou, Nanjing, Wuhan, Tianjin, Xi'an,Guiyang etc) , group package tour (GPT) is still the mainstream travel mode and very popular, the amount of outbound trips grew very fast in these new-tier cities than many first-tier cities including Beijing Shanghai [3]. According to statistics from ministry of culture and tourism of China [4], there were a total 4900 travel agencies which allowed to promoted to outbound tour products in 2019, up 172% , compare to only 1800 travel agencies in 2007. Obviously competition between travel companies is getting more and more intense. The tourist market has shifted from sellers' market to buyers' market. Therefore, this has extremely aroused our interest in study the selection criteria which tourists choosing group package tours. This also helps the travel companies to target their market more accurately, so that they can utilize their strategies in attracting their target groups of people. Therefore, there were twofold objective of this research:

1) To identify the selection factors considered by Chinese tourists when choosing outbound group package tours.

2) To assess the significant relationships between underlying factors of tourists' selection of group package tours and the demographic/ travel characteristics.

2. Literature review

2.1 Outbound group package tour

Outbound tour can be mainly classified into two types: the group package tour (GPT) and the free independent tour (FIT). GPT and FIT are very different in many aspects. First, in group package tours, almost everything, including attractions, itinerary arrangement, tour leader/local guide, meals, accommodation and transportation is pre-arranged and included in one tour group package price [5]. As stated by Jin et al. [6], GPT is defined as a tour planed and paid for in multiple destinations in advance, including vehicles, accommodation, and attractions. GPT is one of the main modes of outbound travel in most Asian countries and areas, such as China, Hong Kong, Korea, Japan, Taiwan, etc. [7] [8]. Based on the preparations and the services of group package tours , package tours are also divided into two different groups. One group is basic –normal package tours, including only transportation and accommodation services. Another group is complex – comprehensive package tours including hotel, transportation, tour guide, food & beverage, attractions, entertainment, daily tours, etc. [9] [10]. This study mainly focuses on the selection criteria of Chinese tourists regarding complex – comprehensive package tours and basic – normal package tours have been omitted.

2.2 Reasons for choosing group package tours and travel agencies

Few outbound travel experience, problems related to travel visas and limited foreign language ability are reasons for choosing outbound group package tours [11]. As Duke & Persia [12] indicated, many tourists think that package tour is the best way of visiting or seeing as much as possible combined together with sightseeing, professional care from tour leaders/guides and comfort. According to the survey of the United States Tour Operators Association [13], 45% of tourists think convenience is a major reason when choosing package product. 40% of tourists stated the feeling of safety when traveling with package tour is an important consideration. Culture affects and shapes people's values, beliefs, emotions, opinions, behaviors, attitudes, and lifestyles [14]. Preference for the group package tour also reflects the Chinese collectivist cultural values which is characterized by seeking in within-group harmony and avoidance of uncertainty to ensure safety and reduce potential risk [15] [16] [17].

An investigation by Which [18] indicated that accommodation, good value for money, brochure advertisement, convenience of travel arrangements, and good services are the five most core dimensions for tourists choosing their package tour product. Chen et al. [19] conducted a study on the selection and trade-off for a specific tour versus another, and identified eight attributes, namely destinations, free time, shops, optional activities, included meals, attractions, flight and price, each with vary level. Burçin and Savaş [20] pointed out that the factors affecting people choosing GPTs were tour arrangement and service qualities, scenic spots, airlines and accommodation. International tourists prioritized selection criteria such as the reputation and experience of travel agencies, quality of hotels and the amenities, historical and cultural attractions.

2.3 The relationships between demographic and selection factors

When tourists consider whether to choose a package tour product or not, the demographic characteristic will play an important role on tourists' decisions [21]. Many studies in relation to tourism industry have indicated the influence of travelers' demographic characteristics when tourists adopt the services of travel agencies. For example, Burçin & Savaş [20] indicated that women were more inclined than men to take history, cultural and natural attractions into consideration when choosing an package tour. Heung and Chu [22] revealed that man placed more importance on pricing, formal communication, and interactive agent quality. Heung and Zhu [21] found that female rate service quality and tour facility estimation as more important than male. Similarly, Hui & Wan [23] stated that women care more face to face communication, brochure advertisement, agency reputation. With regard to age, Louisa et al. [24] found that compared with young people, older than age 50 preferred visiting historic sites and non-peak season, and traveling with small group of companions. As for marital status and occupation , according to a study by Burçin & Savaş [20] , it was found that married people were more likely

to make a strict tour plan and travel all attractions include history, cultural and natural attraction at a short time. Singles gave more importance to the price factor than married people.

3. Methodology

3.1 The instrument

In this study, a survey questionnaire was developed according to a review of previous literature on tourists' selection criteria or factors for group package tours by travel agencies [25] [6] [20]. This questionnaire comprised three parts. The first part was to collected demographic profile of respondents. Then, the second section was about questions related to travel characteristics such as previous experiences, booking channels, length of stay and so on. The third part comprised 50 attributes for choosing outbound group package tours. Respondents were asked to indicate the level of each items effecting their selection of package tour products by using a five-point Likert-type scale ranging from 1 "unimportant" to 5 "very important". A blind translation method was employed when the questionnaire was translated into Chinese. The first step is that English version of questionnaire was translated into the Chinese version, then the Chinese version of questionnaire was translated back into English . The questionnaire was piloted amongst 40 tourists in Chengdu International Airport to evaluate the reliability of the 40 attributes and no changes were made because the scale items of the pilot had good internal consistency, with a Cronbach alpha coefficient of 0.864 with a Cronbach alpha coefficient of $0.864 > 0.6$, which was well above the minimum value of 0.6 as an indication of reliability [26]. The scale items, or variables, are the GPT attributes.

3.2 Sampling and Data Collection

The sample for this study were mainland Chinese residents the age of 18 or above who joined outbound group package tour within one year from the date of the survey. Convenience sampling method was used in this study. The survey was carried out in December 2019 to January 2020 at four international airport, respectively Shuangliu International Airport (Chengdu); Jiangbei International Airport (Chongqing); Changshui International Airport (Kunming) Longdongbao International Airport (Guiyang). In order to interview the proper respondents, before implementing the survey, the screening question, "Are you a outbound group package tourist?" was asked at the beginning. In total, 508 questionnaires were collected.

4. Findings

Perceptions of 50 selection items of GPT were factor analyzed to determine whether there were underlying dimensions. In addition, the demographic profiles of the respondents were concluded using the descriptive statistics. Except for the basic descriptive method, one-way ANOVA and independent samples t-test were applied to examine the relationships between

demographic characteristics of the respondents and the derived selection factors.

4.1 Demographic Characteristics

Of the sample 850 people, 508 completed the questionnaires, representing a response rate of 59.7%. A higher percentage of the respondents were female (51.4%), the majority of respondent (40.4%) were between ages 25 to 34; 20.5% were ages between 18 to 24. Another 16.7% belonged to the 35 to 44 category. Only 8.0% of the respondents were above the age of 55. About 80% respondents had a diploma or bachelor education level. The two largest part of respondents were in the income category of ¥6000 to ¥9999 (34.4%) and ¥3000 to ¥5999(27.4%) respectively. In addition, over half of the respondents were married (57.7%).

4.2 Factor Analysis of GPT Selection attributes

Results of principal component analysis in table 1 showed that the 50 selection attributes of GPTs were condensed into seven factors. With 31 attributes derived from the 50 selection variables, these seven factors explain 52% of the variance in all selection items, which were loaded most heavily (loading>0.50). These seven factors were proved to have an effect on Chinese outbound group tourists, in order of importance, namely: Shopping arrangement and optional tour; Group leader/ local guide; Pricing and promotion; Transportation and accommodation; Reputation and customer care of travel agency; Itinerary arrangement and Attractions; Ease of booking and mobile payment.

Table 1 Results of Factor Analysis with VARIMAX Rotation on the Respondents' Perceptions of GPT Selection attributes

Selection Factor	Factor loading	Eigen-value	% of Variance	Cumulative Variance	Cronbach alpha
Factor1 Shopping arrangement and optional tour		5.74	13.35	13.35	0.71
Appropriate duration in shops	.708				
Reasonably priced goods	.701				
Appropriate frequency of shopping	.661				
Freedom to join / not join self-paid tours or activities	.624				
Free of forced shopping	.526				
Factor2 Group leader/Local guide		3.12	10.26	23.61	0.61
Communication skills of tour leader and local guide	.842				
Professional skills and knowledge of local tour guide	.813				
Responsibility and honesty of tour leader	.703				
Friendliness of tour leader and local guide	.638				
Factor 3 Pricing and promotion		2.73	8.86	32.47	0.69
Complimentary gift offered by TA	.794				
Media advertisement	.655				
Early bird discount	.628				
Group and family discount	.536				

Table 1 Results of Factor Analysis with VARIMAX Rotation on the Respondents' Perceptions of GPT Selection attributes (Continued)

Selection Factor	Factor loading	Eigen-value	% of Variance	Cumulative Variance	Cronbach alpha
Factor 4 Transportation and accommodation		2.26	6.81	39.28	0.66
Brand and nationality of airline	.702				
Hotel rating and branding	.599				
Attitude of the driver	.579				
Cleanliness and comfort of the coach	.555				
Safety of the coach	.506				
Factor 5 Reputation and customer care of TA		2.05	5.27	44.55	0.62
Word of mouth recommendation	.671				
Attitude of TA staff	.636				
Financial background of TA	.621				
Factor 6 Itinerary arrangement and Attractions		1.76	4.06	48.61	0.64
Appropriate itinerary arrangement	.681				
Enough attractions to visit	.672				
Enough time spend at attractions	.643				
Number of days of trip	.642				
High quality of attractions	.632				
Natural environment and sceney	.524				
Factor 7 Ease of booking and payment		1.59	3.8	52.41	0.84
Ease of online booking	.764				
Ease of mobile pay(Ali pay/ WeChat pay)	.669				

Note: TA is travel agency.

4.3 *Mean Difference of Seven Selection Factors for Group Package Tours by Demographic Characteristics of Respondents*

After identified the seven underlying dimensions of GPT selection attributes, one-way ANOVA and independent sample t-test were used to examine whether the importance of the derived factors differed based on the demographic profile of respondents. Results of the analysis showed that with a 5% level of statistical significance, these seven selection factors were identified to be significant differences in term of four demographic characteristics: gender, age, income, marital status respectively.

For gender, significant mean differences were found between male and female in two out of the seven selection factors. These two factors were shopping arrangement and optional tour (mean=4.18), reputation and customer care of travel agency (mean=4.40). The results showed that females gave higher mean ratings on these two factors than male counterparts. This showed that these two factors were perceived more important to female respondents while they selected group package product. These findings also supported those of Hui & Wan [23] and Burçin & Savaş [20], who concluded that female rated service of travel agencies and reputation as more important than did male.

Across of five age group, tour guide/leader, pricing and online booking and mobile payment ratings indicated significance differences. Those aged above 55 considered tour guide/leader as more important, compared to those respondents aged under 55 when they select a GPT product. However, pricing were more important for the age groups of 18-24 and 55 or above than other age groups in the selection of package tour. Not surprisingly, those aged below 45 years old seemed pay more attention to the online booking and mobile payment when chose package tour.

As for the incoming groups, pricing and promotion, transportation and accommodation, and reputation and customer care of travel agency ratings showed significant differences. For the convenience of this research, we classified the income level statistics to two groups: one group was relative low-income with a income level less than ¥6000 per month, and the other group was the relative high income group with a income level of more than ¥6000 per month. From the respondents' ratings of lower income group, on the one hand, pricing was more important, compare to higher income group of respondents, on the other hand, respondents in higher income group put more importance on reputation of TA , transportation and hotel.

Moreover, in relation to marital status, there was a significant difference between single and married respondents in relation to factor "Shopping arrangement and optional activities". The results clearly showed married respondents were more pay attention to "Shopping arrangement and optional activities" than single respondents.

5. Discussion and Conclusion

The result of this study have identified the selection attributes and underlying factors perceived by outbound Chinese tourists when choosing group package tour.

Seven factors were derived from the 50 attributes by factor analysis, in order of importance, namely shopping arrangement and optional tour; group tour leader/ local guide; pricing and promotion ; transportation and hotel; reputation and customer care of travel agency; itinerary arrangement and attractions ; the ease of booking and mobile payment. Results of analysis revealed that these seven factors were found to have significant differences in relation to four demographic and travel characteristics: gender, age, income level, marital status. As the results showed, female tourists were more cared about shopping arrangement and optional tour, agency reputation and customer care than were males. With regard to age, comparing with older people, young people were care more about pricing and promotion, and the ease of online booking and payment. In contrast, older tourists placed higher importance on tour leader/guide than young tourists. Not surprisingly, it was found that there were a few significance differences in relation to income level and selection factors. Not surprisingly, pricing and promotion were perceived

as a more important selection factor by relative lower-income respondents than those relative high-income tourists. While high-income respondents were inclined to place higher importance on accommodation and transportation, reputation and customer care of travel agency. In addition, there was significant difference between selection factors and marital status. The respondents who are married were put more importance on shopping arrangement and optional tour.

Through this study, whether on product characteristics or underlying dimensions, GPTs are still playing an critical role in tourism product market. However, due to many travel companies cannot meet the demands of different customers, differentiate themselves from other tourism competitors. It will be very difficult to survive against intense competition. Moreover, the quality of service also are very important and should be taken into account when targeting market to guarantee that what is served match to the requirements of the segment market.

Finally, here are some suggestions that were made for China's travel operator in this study. Good reputation of customer care of travel agency, more training for tour guides/leader, and shopping and optional tour arrangement were the three most important aspects to which travel companies should take into account. By focus on these three aspects, the competitive force of Chinese international tourism operators attractive force of outbound group package tours can be strengthened.

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The Concept of Using the Local Identity for Tourism Promotion in Nakhon Ratchasima Province (Khorat), Thailand

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Abstract

The academic article aims to study the concept of using the local identity for tourism promotion in Nakhon Ratchasima Province, Thailand and to analyze the concept of using the local identity for tourism promotion in Nakhon Ratchasima Province, Thailand. Nakhon Ratchasima (Khorat) is chosen for the studies because it is the largest area province in Thailand and the province also consists of many local identities that can use for tourism promotion such National Park, Historical Park, Natural Tourist place, Cultural and traditional tourist places. This article is conducted with thoroughly studies on the secondary data from Thailand and abroad. The studies found that the local identity of Khorat has been used by both the government and private sector to promote the tourism in Nakhon Ratchasima by adding its value and distinctive cultural of the community in various tourism activities such as the tourism program, traveling route, district events, ceremonies, festival, religious events, and seasonal occasion. The local identity helps to generate the income for the community. The community should pay attention to the conservation, recovery, modification and development of its local identity as it can transfer from one generation to another generation and become sustainable tourism in the community. The suggestions for tourism promotion are 1) to add the value and distinctive local identity of community to every tourism activities and tourism program. 2) To apply the community-based tourism and conservative tourism to conserve the original identity of the community 3) To spread the core knowledge for the deep understanding and sharing of the importance of local identity in order to build the strong network between the government sector and private sector. 4) The government should arrange the budget and strategic plan to support and increase the standard of the local identity and cultural community-based tourism. 5) To increase the budget and skill in the digital marketing and online promotion to attract the tourists in digital economy.

Keywords: Tourism Promotion, Local Identity, Khorat, Nakhon Ratchasima, Thailand

1. Introduction

The expansion of the tourism industry in Thailand keeps increasing day by day. It helped to increase the income for the community and society. The people would not need to migrate to find the job in the city. They could earn the income from tourism industry in society. Many cities in Thailand had developed in various infrastructure, transportation, telecommunication, hotel and resort, tourist places and service industries. This showed in changing of attitudes and behavior of people and the tourists. They desire more varieties of products and services with convenient access and speed. Nevertheless, some tourists still demand for travelling to experience the cultural and local identity. The rich and meaningful value of those historical places, traditional dance and music, local food and local souvenir, etc…are very attract for more tourists to visit.   Therefore, tourism in Thailand will have to keep improving their products and services to compete in the world tourism market. As there are many opportunities in tourism industry, Tourism authority of Thailand [19] had showed some data that the total target income from the tourism industries for the year 2018 would be more than 3 billion Thai baht divided to be the income from foreign market around 2 billion Thai baht and 1 billion Thai baht for domestic tourism. The tourism industry in Thailand can expand the market and earn more market share. The income from related tourism industries was amounted more than 100,000 million Thai baths per year. It was always in the third position of the highest earning industries in Thailand which was ranking behind from Exporting industries and Stock Exchange Investment. The ministry of tourism and sports bureau, Thailand [12] has reported that in the first 6 months of 2019, there are an increasing number of tourists 2.5% as compared to last year which makes the national income around 536,106 million Thai baht. The positive factors are such as more holidays and government tourism campaign, taxes reduction policies.

The tourism in Thailand is the strong industry and earning the billions of income for the country GDP. It is one of a very important industry that will support the economy with various related sectors. In ASEAN Tourism Strategic Plan 2016-2025 of Association of Southeast Asian Nations (ASEAN) [2] has estimated that the number of tourists that will travel to ASEAN around 107.39 million people in 2026. There will be more than 80 million tourists from ASEAN. The trend of tourists who visited Thailand in past 3-5 years around the year 2016-2019 was more than 20 million people. Therefore, the entrepreneurs should plan and determine the tourism strategies to meet the need and demand of the targeted customers. Especially, the local identity of the city must be top consideration to keep in the travelling program. The unique and distinctive culture will persuade the tourists around the world to visit. There will always be the problems and challenges for the tourism business to face in the future such as the quality of the product and services, the price competition, location, culture, behavior and attitudes of tourists, etc… It is vital important for every tourism entrepreneur to find the different concept and

identity of its own business to be strong unique tourist places. The local identity could help to build the interest of the tourists to visit. This will also help the community and society to preserve the local culture, traditional music, local food and beverage, traditional costume. It will generate the income for the local community. This could also develop to be a sustainable and famous distinctive tourist places.

The writers are very interested to analyze the importance of local identity for tourism promotion in Nakhon Ratchasima province, Thailand. Nakhon Ratchasima is also known as 'Khorat' or 'Korat'. It is the largest area province in Thailand and it is the gateway to the Northeastern region of Thailand. It is around 250 kilometers faraway from Bangkok with just 2 hours thirty minutes in driving. This province is full with rich natural resources composing of mountains, forests, waterfalls, and reservoirs, and is home to one of the most famous National Parks in Thailand named 'Khao Yai National Park'. The historical and ancient places and many cultural heritages as traces of Dvaravati and Khmer cultures were found throughout the Khorat. It was originally situated in Soongneun district where was 31 kilometers far away from the present center district (meaung district). It was called "Meaung Korapura" or the highland Khorat with meaung sema in which 2 cities were very prosperous during the Khmer Empire.

Apart from the remarkable natural attractions and astonishing historical and cultural attractions, Nakhon Ratchasima is also endowed with numerous fascinating local legacies including unique local way of life and distinctive local handicrafts, particularly Dan Kwian's earthenware, Hang Krarok Textile, Pak Thong Chai's silk textiles, local food like Phad-Mhee and Tum Khorat, Khorat Music, etc... Nakhon Ratchasima is a large province that covers the area of 20,494 square kilometers and comprising 32 Amphoes (districts). According to Official Statistics Registration Systems (2019), the population is around 2,648,927 people in the year 2019. From the data above makes the writer very interested to emphasize and analyze the importance of using the local identity for tourism promotion in Nakhon Ratchasima Province (Khorat), Thailand.

There are many attractive places and strengths in Khorat but there are also some weak points and disadvantages. The weaknesses of tourism in Nakhon Ratchasima Province are 1) Lacking of the budget from the government to promote the local identity and sustainable tourism; 2) Less continuing process and the standard of tourism system; and 3) Lacking of public relation, advertising and sale promotion about the identity tourism from both government and tourism entrepreneurs.

These are the reasons why the tourist will always visit only the same places such as National Park "KhoaYai" or Wangnamkeaw because it is famous for natural tourism places. There are

many more attractive identity tourism places that are very rich in culture, tradition, ancient and historical places such as National Park "Pimai", Meaung Boran (Ancient City) at Soongnuen district, Phanomwun castle and Baan Prasart (archaeology village) at Nonsoong district but there are not famous and less visitors.

However, the tourism authority of Thailand [27] has selected Nakhon Ratchasima province to be 1 of 22 cities where are the main tourism cities in Thailand. As Khorat has very rich in culture and identity that presents the unique characters. There is Thao Suranari Monument (Khun YaMo) where many tourists from Thailand and Abroad visit and worship. In website of 77kaoded [23] showed the news in 2018 that the tourism authority of Thailand [19], Office of Nakhon Ratchasima had some project plan to support the tourism market by using internet, social media and application on smartphone to promote the updated news and promotion, a special tourism events and festival season. It is to promote to the new generation that use smartphone and internet more in this era. There are also many campaigns to promote the tourism market such as "Amazing Smart Thai" and "Thailand Go Local" to persuade tourist to visit local community and secondary tourism cities.

The local tourist places in Khorat are very attractive to Thai tourists and foreign tourists to visit. The public sector and private sector in Nakhon Ratchasima always help to support the important events and activities throughout the year. The people and culture in Khorat are also having the unique characters and identity.   This is why this academic article to ensure the importance of the local identity to be the factor that help to promote tourism in Nakhon Ratchasima. The studies will support the government and public sector to keep the original local identity as long as they can and promote more and more to make the people in the world recognize and visit Khorat. It may lead to the sustainable tourism that offer more income to the community and make everyone happy whenever visit Khorat.

2. Objectives

1) To study the concept of using the local identity for tourism promotion in Nakhon Ratchasima Province, Thailand
2) To analyze the concept of using the local identity for tourism promotion in Nakhon Ratchasima Province, Thailand

3. Methodology

This academic article is the studies in focusing on the Nakhon Ratchasima Province as it is one of the main interesting tourism province of Thailand. It is a largest province in area of Thailand. It also consists of many tourism places such National Park, Historical Park, Natural Tourist

place, Cultural and traditional tourist places. The article is conducted with thoroughly studies on the secondary data from Thailand and abroad such as books, government reports, articles, research, newspaper, statistical data and other internet sources. It is to synthesis and analyzes the concept of using the local identity for tourism promotion in Nakhon Ratchasima Province, Thailand.

4. The Concept of Using the Local Identity for the Tourism Promotion

The local identity and the tourism are always parallel with each other. Every tourist place is always having its own character, nature, culture, taste and identity. That is why local identity plays the vital role to persuade the people to visit. There are many meaning and definition of identity from many scholars and authors. According to the Ministry of Culture, Thailand [11] Identity may have a meaning as the specific individual characters, personal identity or image of each person. The view that we look and understand who we are and we want other to look at us in that same view. Every individual has his own style and character. It is similar with community or society that has its own identity. There may derive from the nationality, race, social class, community, gender and many others. Though, identity may also come from learning, senses and conversation with other person in that particular society

The culture in the community is also different from one to another. It attracts the tourists differently. In the word of Prasannam [17] cultural identity is considered to be very important product in tourism, especially Slow Tourism. Many tourists desire to absorb the culture that are distinctive and identity of the community. The identity in various community are a tool to persuade the tourists to travel to experience the value, beauty, culture, community way of life and places that can change the view and understanding in differentiation of learning. All of these are identity in the tourism products. The local people should understand their own identity that "who they are". Fuengfusakul [7] has defined that the Identity is the feeling and thought of the person that show "Who I am" which happens from the social interaction between individual and other persons through the view of one self and view of others. Identity requires the awareness in individual and basic of some selection that is to indicate the image of a person and intent to accept the chosen identity. The important of self-indication is to mention that his/her identity is similar to one group and how it is distinctive from other groups and "Who I am" in the sight of others.

Organization for Economic Co-operation and Development (OECD) [15] has also stated that the growing articulation between culture and tourism was stimulated by a number of factors such as

Demand: Increased interest in culture, particularly as a source of identity and differentiation in the face of globalization.

Supply: The emergence of new nations and regions eager to establish a distinct identity (e.g. the impact of newly-independent states in Central and Eastern Europe).

Desforges [6] had described that understanding identity can give insight into tourism consumption because, by understanding the person and their needs and desires, it could be possible to predict their future travel behavior. If the tourism identity processes an individual goes through could be understood, it might be possible to influence desired identities and, consequently, travel behavior. There is some example in OECD [15] the case of the promotion of the voivodeship (the area administered by a voivode (Governor) in several countries of central and eastern Europe) as a tourism destination might stimulate programs aimed at the preservation of the industrial heritage in the Silesian voivodeship. The "Industrial Monuments Route of the Silesian Voivodeship" is a model in this regard. By visiting the route, tourists have the chance to learn about the cultural and economic identity of the region. The route not only shows the history and traditions of the region but also its contemporary image and the changes it has undergone.

Thailand has different identity in various provinces such as north and south has totally different culture and identity. In the case of identity of E-San people (North East Region) is the reflection of being a person from E-San region. It will reflect in the view of other person to recognize that the person is from E-San region. In the work of Sungthada [26] stated that the E-san dialect is the image or the indication to show identity of E-san people. The dialect may be in poet or it is called Pha-Ya. It is the dialect culture that derives from antecedents. This indicates the dialect culture and E-san dialect culture.   The another important identity in performing arts in Thailand is in case of Khon, (masked dance drama in Thailand), UNESCO [20] has inscribed it on the representative list of the intangible cultural heritage of humanity in 2018. Khon is a performing art that combines musical, vocal, literary, dance, ritual and handicraft elements. Khon performances – which involve graceful dance movements, instrumental and vocal renditions and glittering costumes – depict the glory of Rama, the hero and incarnation of the god Vishnu, who brings order and justice to the world. Concerted efforts are made to ensure the continuity of the practice, including through the establishment of training and performance clubs that help reach out to young people. This kind of identity can attract more tourists from around the world to visit Thailand.

4.1 The important interesting examples of using the local identity for tourism promotion in Nakhon Ratchasima Province (Khorat), Thailand

There are many products, culture and identity that can use to promote the tourism in Nakhon Ratchasima. According the Department of Cultural Promotion [4], The features of heritage cultural wisdom are divided into 6 categories as 1) Folk Literature and language; 2) Performing arts; 3) Social Practice, Rite, tradition and festival; 4) The knowledge and practice about nature and universe; 5) Former Skilled Labor; 6) Folk Games, Folk Sports and Martial Arts. In this academic articles will focus only on the famous local identity of Khorat. There are classified as following:

4.1.1   Historical and Ancient Tourist Places

4.1.1.1 Thao Suranari Monument (Ya Mo)

Figure 1. Thao Suranari Monument (Ya Mo)
Source: Museum Thailand (2016)

Thao Suranari Monument (Ya Mo) is a very important landmark of Khorat. Most of the visitors will regularly worship, pay homage for blessing and take the pictures at this place. It is situated at Ratchadamnoen road, Mueang district. Thao Suranari Monument is a memorial to honour a heroine of Thai people who fought for the country during 1826, especially the local Khorat people, named Thao Suranari or Khunying Mo (Lady Mo). Many people known as 'Ya Mo' (Grandmother Mo).The statue of Thao Suranari is dressed in regalia bestowed on her and is in a standing position with right hand holding a sword and left hand placed on her waist. The statue faces west towards Bangkok, while the base of the monument holds her ashes. It is very unique identity and cultural tourist places to visit.

The people in Nakhon Ratchasima province always use the annual ceremony to pay respect to Thao Suranari (Ya Mo) and honour her bravery with special events from 23 March to 3 April of every year. There are many tourists travel to Khorat during the events. This Ya Mo annual ceremony helps to promote Khorat culture, Khorat Food, Khorat Music, Khorat traditional costume which has its own local identity to attract people to visit every year.

4.1.1.2 Phimai Historical Park

Figure 2 Phimai *Historical Park*
Source: Tourism Authority of Thailand (2018)

Phimai Historical Park is one of the most incredible historical parks in Thailand. It is located in Phimai District. The Phimai sanctuary is one of the grandest and most important Khmer historical places in Thailand. Phimai sanctuary has the shape of a rectangle and it is 565 metres wide and 1,030 metres long. It was made of sandstone and laterite, all ornately carved with designs. Phimai sanctuary was most likely built at the end of the 16th Buddhist century during the reign of King Suriyaworaman I. It is very attractive tourist places due to the architectural style is Baphuon that prospered at the time. It is very unique. Some characteristics are similar to the Angkor Wat style. The site had some additions in the early 18th Buddhist century in the reign of King Chaiworaman VII when Phimai had close relations with the Khmer Empire. The sanctuary was always a religious site of the Mahayana sect of Buddhism. That is why many Buddhist people from ASEAN countries travel to Phimai to experience the cultural and historical park.

There is a famous festival, called Phimai Festival. It is a grand and cultural festival for Nakhon Ratchasima Province.   It is organized to promote tourism activities in the province every year. It is a main tourist destination of Phimai Historical Park that is held in conjunction with Phimai Boat Races and there are interesting and excited activities like the long boat racing, religious processions, a light-and-sound show and cultural dance performances. This emphasizes the importance of local identity in Phimai district to attract man tourist and it is the main festival to promote the provincial tourism.

4.1.2 Local Food

4.1.2.1 Phad-Mhee-Khorat (Rice Noodle)

Figure 3 Phad-Mhee-Khorat (Rice Noodle)
Source: Khaosod (2016)

Pad Mee Khorat is one of the tasty and unique menus in Nakhon Ratchasima province. It is a stir fried rice noodle. It is quite similar to Pad Thai. This dish is cooked by stirring fried rice noodle with pork/chicken as main ingredients and it is seasoned with a special fermented bean paste, palm sugar, soya sauce and chili. The bean sprouts, Chinese chives and eggs are also added to the stirring. The taste of sweetness and spiciness makes the dish to be a favor for many tourists. Pad Mee Khorat has its local identity that attracts many tourists to taste the menu and buy it for the souvenir. Most of the local restaurant will serve this menu as local people and visitor always order this menu. It is like one of the compulsory menu whenever visitors and guests visits Nakhon Ratchasima province.

4.1.3 Local Dialect and Song

4.1.3.1 Phleng Khorat (Khorat Folk Song)

Figure 4 Phleng Khorat (Khorat Folk Song)
Source: Museum Thailand (2016)

Phleng Khorat is a very unique folk song as using the Khorat dialect or accent to sing. It is something like some dialogue duet singing tradition and developed into a folk spectacle of the people in Khorat. It is very old tradition and keeps practicing from generation to generation. This culture of singing Khorat folk song has the earliest record dates back to 1913 AD. In the website of intangible cultural heritage [8] has stated that it was during the reign of King Rama VI, when Si Phatcharinthara, the Queen Mother, visited Nakhon Ratchasima Province to preside over the opening of the Chom Surang Yat Road and to visit Phimai District. In the welcoming

ceremony, a prominent Mo Phleng by the name of Mr Ri Ban Suan Kha performed Phleng Khorat in her honour .

At the present, Phleng Khorat may not be very popular. But there are many people and tourists, especially Buddhist people believe and pay the homage Thao Suranari by hiring Phleng Khorat singers to perform at night near her memorial statue as a votive offering to her spirit. It is due to the believe that Thao Suranari adored Phleng Khorat. This practice helps several Phleng Khorat singers, who mostly reside in Mueang Municipal District of Nakhon Ratchasima Province, in tourism business. The tourists from other province always want to see and hear the Phleang Khorat whenever they visit Nakhon Ratchasima.

4.1.4 Local Textile and Costume

4.1.4.1 Pakthongchai Silk is one of the most famous silk production districts in Thailand. The fine silk textiles with great design fabric are available in this district. The provincial slogan is *"A brave women city, quality silk, Mee Khorat, Stone castle, Dan kwian clay"*. Many tourists are aware of this slogan and always visit Khorat to buy the silk product whenever they pass by Pakthongchai district. The silk of Pakthongchai has a unique pattern of local silk which contains various designs and products as distinctive beautiful silks. The grid pattern of cloth is a large square grid, with many colors and many types of woven fabrics. The pattern of loincloth that used in every household, is similar to a grid pattern cloth, but with smaller squares. "Mudmee" pattern is woven by using "Mudmee" weaving technique. There are varieties of good quality silky products such as bags, hat, shirts, jacket, suit, skirt and etc… Many tourists always love to purchase the silk products for souvenirs as it is great gifts for every occasion.
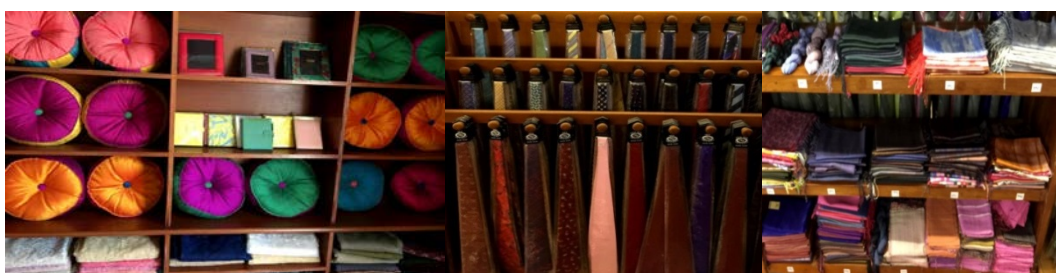
Figure 5 Pakthongchai Silk
Source: Encyclopedia of Korat Study, Volume I (2018)

The unique silk pattern is Hang Krarok silk. It is old and famous the textile pattern in Nakhon Ratchasima province. These silks are one type of plain silk, but add special technique by using two silk twisted into a single line. Printed silk is a silk that printed pattern on plain silk to make new patterns. In studies of Sattayanuchit and Pimansakulwat [24] has stated that the value of Hang Krarok silk is very sensitive within the family members. The grandparents will offer this silk to the new generation during the important spiritual occasion. It is very beautiful and attractive design which make tourist to desire and purchase it for oneself or others as souvenir.

The samples texture are shown in the pictures below
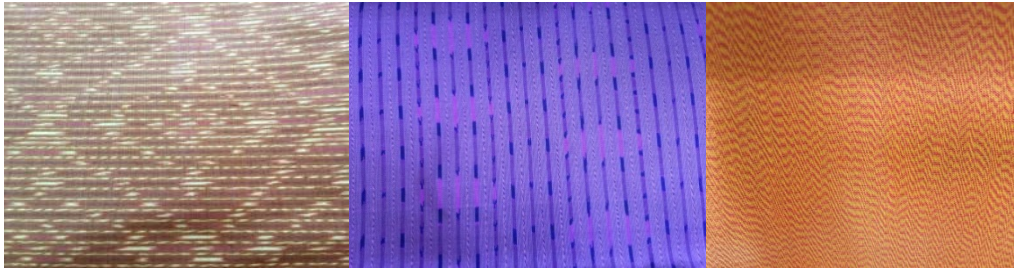
Figure 6 Hang Krarok silk
Source: Encyclopedia of Korat Study, Volume I (2018)

In the view of tourism, there is Pak Thong Chai Silk Festival and Khorat's Products Fair. It is organized to promote the tourism in Nakhon Ratchasima province. The date is always from 9 to 15 December of every year, at the Stadium of Mueang Pak sub-district Municipality, Pak Thong Chai district. It is around 30 kilometers far from Meuang district. In the festival, tourists will experience many activities; such as, booths for distribution of silk at reasonable prices, booths for distribution of various products from farmers' housewives, the queen of silk contest, fashion show, cheap local products distribution, academic exhibitions, and demonstration of the silk making processes. Tourists are always impressed with enjoyable in the silk festival.

Nevertheless, in 2001 Thai Silk Company Limited (Jim Thomson) has promoted the tourism in Nakhon Ratchasima by organizing the Jim Thomson Farm and open for the tourists to visit during the month of December and January. Jim Thompson aims to preserve and convey the valuable cultural heritage of Thai people, living in the Northeastern region, to both Thai and foreign visitors in order to generate a sense of appreciation towards the ancient and beautiful Isaan customs and traditions. Jim Thomson is the world famous silk company who produce finest silky products to the world. The tourists will enjoy and experience the gain agricultural experience, learn about the life cycle of silkworms, stroll through the organic vegetable garden and colorful flower fields and many silk products in the farm.

4.1.5   Earthenware

4.1.5.1 Din Dan-Kwean (Pottery from Dan-Kwean clay)

Figure 7 Din Dan-Kwean (Pottery from Dan-Kwean clay)
Source: Community Development Office, Nakhonratchasima (2017)

Din Dan-Kwian (Dan-Kwian Clay) is the last words in the slogan of Nakhon Ratchasima Province. Din Kwian is the village in Chok Chai district. It is very famous and well known as the Earthenware Village in Thailand. People in Thailand are aware of its unique rust-colored pottery in which numerous potters have been producing this pottery for many generations. In the early period, the pottery products made were regular household items; such as, water jars, pots, and mortar. At the present, Dan Kwian's pottery has been developed to be works of craft that are made for local and international sales; such as, vases, dolls, and garden decoration items. This local skill in producing the amazing pottery has persuaded many tourists to visit and purchase the products for house decoration and for the souvenir as well.

Dan Kwian Municipality always arranged the budget to organize the festival to promote tourism every year. The events will bring many tourists to experience the culture, traditional dance, music, booth of local food and sales of many interesting earthenware products. This local identity has helped to promote Nakhon Ratchasima to be recognized throughout the world with its quality pottery items.

4.2 The development of using the local identity for tourism promotion in Nakhon Ratchasima Province (Khorat), Thailand

The popularity of the local and community based tourism is slightly to be famous and many villages in Thailand keep developing its places to attract more tourists. The community-based tourism focuses the importance of community and considers the community to be center. It is to develop the community to be the heart of tourism management. It is not just only response the desire of tourists but it also develop the potential of people in the community by participate with their knowledge, culture, taste in tourism management. The local identity of the community can be the one of the best way to attract the tourists to experience. It offers the jobs opportunities, income and business in the community. In the same time the local people will conserve the community and their local identity. Poonkunpuen and Somnueng [16] have stated that the village people (Chaw Baan) will not just observe the role in tourism management anymore but they will also participate in it. They will choose the works and places to show their identity, culture and those traditions to widen the knowledge more and more. This means that village people are proud to be themselves and can find the income from their own distinctive characters and culture.

The important government authority and private organization gives more attention to support the local and community based tourism. Every governor of Nakhon Ratchasima province will

always emphasize the annual budget and annual plan to concentrate on the district festival, OTOP (One Tumbon One Product) trade show, community based events and the tourism on the local community for the persuasion of the tourists to visit. The tourists will help to generate the economy and income in the province. The important person who can proceed and promote the community to succeed is the local leader. There are such as district chief officer, head of the village, mayor of the municipality and successful businessmen in the community. Aksornpim [1] has studied about the capability in community based tourism management. She found that there are lacking of participation in planning and making common strategic between the leaders and the people in the community. But it is good cooperation in practicing and understanding the role of community based tourism. The other problem is that they do not keep in touch with each other. This miscommunication is often found in managing the local village people.

The writers found that the four important sources and flows to the concept of using the local identity for tourism promotion are 1. There should be a strong community 2.The community should know and continuously share its value of identity from generation to next generation, 3. The community should participate the conservation, recovery, modification and development its local identity and 4. The community should help to promote its local identity and culture to attract more tourists through Festival, Events, Ceremonies, Tour Program, and Traveling Route, etc…with offline media and online medias as the following diagram:
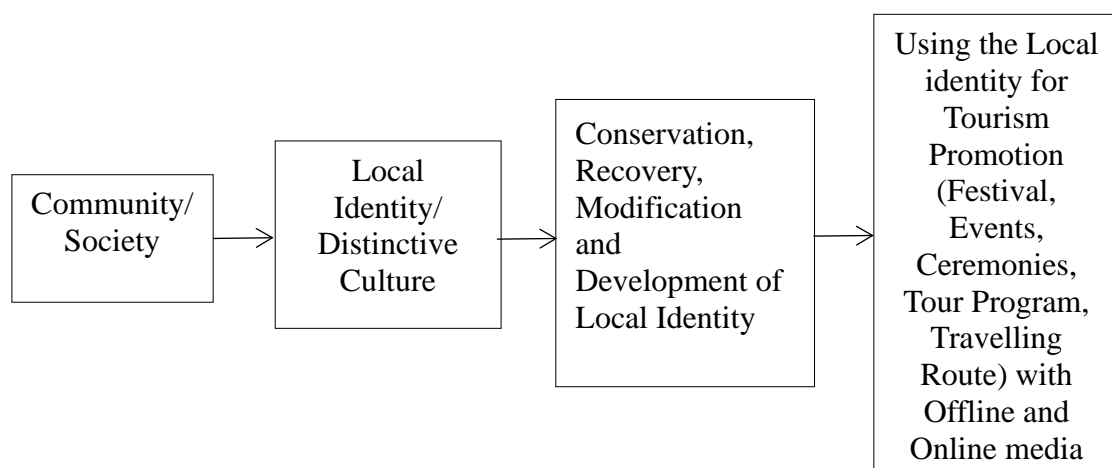
Figure 8 The concept of using the local identity for tourism promotion

Nakhon Ratchasima province has tried its best to promote the local identity of 32 districts. Every district has its own festival and cultural events every year. It may be small, medium and grand events in the district but every events and festival is well corporate with every sector suck as government office, private company, local people and tourists from Thailand and aboard. It is one of the tourism strategic provinces in Thailand. In the month of January till October 2019, Nakhon Ratchasima province is ranking number fourth province where the tourists and visitors

mostly travel to. This tourism statistic is reported by the economic tourism and sport division [5] which the total visitors and tourists are 8,3658,517 people. The income from the tourists and visitors in Nakhon Ratchasima province is around 21,182.51 million Thai baht which is ranking number fourteenth province from the 77 provinces in Thailand. The tourism council of Thailand [25] has also shown the tourism data that in the month of August 2019, the total number of foreign tourists were around 3.4 million people. It means there are great opportunities for Nakhon Ratchasima to attract more Thai and Foreign tourist to visit and become sustainability. Kumar [10] has also stated that the cultural heritage linked with tourism could be an important sustainability tool. There should be increased tourism development, with full participation, management and ownership of indigenous people and without having negative impacts on indigenous peoples and other local communities and ecosystems of which they are a part. Therefore, every sector must corporate with each other by using modern technology to promote the tourism to show the local identity and culture to the worldwide tourists.

5. Discussion

This academic article has been carefully synthesized and analyzed on the concepts of local identity which can promote the tourism in Nakhon Ratchasima. The tourist desire more to learn and experience the new distinctive culture and local identity from the original community. In the work of Rukson [18] has studied on the evolution and development of Dan kwian Clay to keep the beauty of its identity in earthenware. The village people and businessmen in Dan Kwian Village will use only clay from Dan Kwian to produce the wonderful pottery and other items. The raw material and design will be long life in the community. It can pass from generation to generation which will attract the interest of tourists. It will be word of mouth spread to worldwide and bring more tourists to visit every year. It is like Giza Pyramids Complex. It is very famous and many tourists want to visit Egypt. In the Travel & Tourism Competitiveness Report 2019 of world economic forum [22] has also stated that Egypt is home to some of the world's most famous landmarks such as the Giza Pyramids Complex, helping it rank 38th in terms of World Heritage cultural sites and fourth regarding cultural tourism online searches. The country is a global leader in terms of cultural resources (22nd).

In order to keep the original identity of the community, the government sector and related tourism segment should continue the policy about the community bases tourism in Nakhon Ratchasima province. The main important organization like Ministry of Tourism and Sports, Nakhon Ratchasima Provincial of Tourism and Sports, Tourism Authority of Thailand, Tourism Council of Nakhon Ratchasima, Nakhon Ratchasima Tourism Business Association and other related tourism organization must concentrate the significant of local identity in the community. It is to promote the Nakhon Ratchasima Provincial tourism to get more tourists from thought

out the world.

Recently, UNESCO [21] has inscribed Nuad Thai (traditional Thai massage) on the Representative List of the intangible Cultural Heritage of Humanity in 2019. Nuad Thai is considered as part of the art, science and culture of traditional Thai healthcare. Nuad Thai has its roots in self-care in Thai peasant society of the past; every village had massage healers whom villagers would turn to when they had muscle aches from working in the field. It is the local identity and culture in massage in Thailand for hundreds of years. Over time, these experiences have evolved into a formal system of knowledge. This means that the local identity of community is very important in tourism. The writers suggest that the government, private organization, tourism company and related tourism sectors should:

1) To add the value and distinctive local identity of community to the festival, events, tour program, tourism route to promote the tourism in Nakhon Ratchasima province such as local food, ancient cities, historical tourist places, traditional silk costume, etc…

2) To apply the community based tourism and conservative tourism in Nakhon Ratcahsima province. It is to keep and conserve the original identity of the community, which will transfer the local identity from generation to the next generation. This may led the community to be the sustainable tourism in the future.

3) To spread the core knowledge for the deep understanding and sharing of the importance of local identity in order to build the strong network between the government sector, private sector, tourism entrepreneurs, related tourism industries and local people for better cooperation on tourism promotion. It is also to prevent the oversupply on tourism.

4) The government should arrange the budget and strategic plan to support and increase the standard of the local identity and cultural community based tourism such as the basic infrastructure, transportation, telecommunication, etc…for the tourists and visitors to be convenient and secured whenever they travel to Nakhon Ratchasima province.

5) The last suggestion is concentrated on the digital marketing and online promotion such as website, mobile application, social media, etc… which are very important communication tools in this century. Every sector should increase the budget and use the professional programmer or web designer to admin the tool in digital marketing for the successful tourism promotion of the local identity of the community tourism.

6. Conclusion

This academic article has emphasized the concept of using local identity of the community to promote the tourism in Nakhon Ratchaima province (Khorat). The local identity has its unique

and distinctive value in the term of culture that helps to attract the tourists to travel to the province. The community should pay attention to the conservation, recovery, modification and development its local identity as it can transfer from one generation to another generation and become sustainable tourism in the community. The important festival and grand events will use this Khorat identity to be the main activities and can be added in the tour program and travelling route. Therefore, the people who live in the society and community should participate in learning the culture and conserve its original identity in order to promote the tourism in Nakhon Ratchasima Province. The government and private sector should cooperate with each other to build the strong network for organizing the grand festival and promote the local identity of every district to bring more and more tourists to travel and experience the local identity of Nakhon Ratchasima Province, Thailand Khorat.

7. Recommendation

This academic article on the title of "the concept of using the local identity for tourism promotion in Nakhon Ratchasima Province, Thailand" has been studied and thoroughly analyzed with the secondary data. The deeper research on similar title can developed and conducted with the qualitative method, quantitative method and mixed methods to find the impact and effect of various successful factors to use the local identity and cultural distinctive to promote the tourism of the various communities in Thailand and ASEAN.

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A Preliminary Discussion of Thailand Tourism Industry in the 4.0 era

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Abstract

Tourism industry plays a vital role in the Thai economic development. However, its rapid development and expansion has also brought numerous issues to the Thai environment. In order to rectify the environment and develop the sustainable tourism, the Royal Thai government has introduced and implemented various measures to promote the sustainable tourism as it is a major issue of Thailand's tourism industry in Thailand's 4.0 era. The current situations of Thailand's tourism industry are discussed in this article, using the SWOT analysis to analyze its strengths, weaknesses, opportunities and threats including its developing potential in the 4.0 era. Furthermore, the effective development strategies and plans are also recommended with the purpose to contribute the healthy development of Thai tourism industry.

Effective developing strategies that might be benefited for Thailand's sustainable tourism are also suggested as well. Using Digital platform for expanding tourism, public relations or spreading natural resources and environment conservation data including local culturals must be accomplished by both government and establishments. Global standard for Tourism manufacturing and services must be well-supported. Big data shall be used for tourist desiration analysis and "Thailand's development policy 4.0" shall be the essential core to create modern and various Thailand's tourism cultures. These all are implemented for enlarging competitive capabilities of Thailand sustainable tourism industry.

Keyword: Thailand; Tourism industry; the 4.0 era; Sustainable development

浅谈 4.0 时代泰国旅游业的可持续发展

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摘要

旅游业在泰国经济中占据举足轻重地位，但其快速发展却给泰国环境带来了许多问题，为此泰国政府推出并实施种种措施以改善生态环境和推动旅游业的可持续发展。在泰国 4.0 时代，可持续发展正是泰国旅游业的发展趋势之一，本文将对泰国旅游业的发展现状进行探讨，运用 SWOT 分析方法挖掘其在 4.0 时代的发展潜力，进一步提出有效的发展策略与发展规划，如：支持政府与企业运用互联网平台、大数据推广旅游业；以

"泰国 4.0 发展战略"为核心，打造泰国现代多样性的旅游文化。希望有助于推动泰国旅游业的健康发展。

关键词：泰国；旅游业；4.0 时代；可持续发展

旅游业是泰国的支柱产业之一，也是泰国第二大创汇产业。1997 年东南亚金融危机爆发，一枝独秀的旅游业使泰国经济度过难关，旅游业在泰国经济复苏之路上发挥了重要作用，直到今天旅游业对泰国经济的重要性也依然没有改变。

泰国旅游业虽然受到全球经济放缓、英国脱欧、香港发生抗议等问题的困扰，但还是吸引着众多来自同一地区的游客，并有不断扩大的趋势。根据泰国旅游体育部的报告，2019 年前半年到泰国旅游的外国游客人数累计达到 2650 万人，与去年同期相比增长了 2.61％，创造了 1.29 万亿泰铢的收入，增长了 3.04％。前往泰国旅游排名前五的外国游客分别来自中国（增长 15.62％）、马来西亚（增长 0.99％）、日本（增长 9.03％）、韩国（增长 9.16％）与老挝（增长 8.63％）。

就泰国而言，众多的外国游客来到国内旅游是一把双刃刀，是一件好事，也算是一件坏事。好处在于其将推动泰国经济的发展，但是游客的人数超越景区的承受能力却给生态环境带来了破坏。因此，泰国应想法设法在追求旅游业快速发展的同时，注重保护生态环境与节约能源。目前，越来越多的泰国人意识到了节约能源和保护生态环境的重要性，因此，当泰国政府推出了新的旅游观念——可持续性旅游并实施种种措施以推动旅游业的可持续发展之时，受到众多人的支持与配合。在泰国 4.0 时代，可持续发展正是泰国旅游业的发展趋势之一。本文将对泰国旅游业的发展现状进行探讨，运用 SWOT 分析方法挖掘其在 4.0 时代的发展潜力，进一步提出有效的发展策略与发展规划，希望有助于泰国旅游业的健康发展。

1. 可持续发展的概念及旅游业的可持续发展

所谓可持续发展是指在满足当代人需求的同时，既能保护生态环境，又能维护当地人民的生活、传统文化的发展方式。生态、经济与社会的协调是可持续发展的前提。可持续发展的思想是旅游业可持续发展的理论基础。

所谓旅游业可持续发展是指一个在满足游客需求的同时，既能保护生态环境，又能维护当地人民的生活、传统文化的旅游方式，其将旅游业的发展目标与保护生态环境的目标结合起来，使其在实现旅游业的可持续发展的同时，提高了旅游业的综合效益。旅游业可持续发展有六大特点，即尊重和保护当地的特色；保护生态环境；合理限制旅游区的开发；尊重地方传统文化；帮助当地人民；看重质量而非数量。

2. 泰国旅游业的发展现状

1997 年东南亚金融危机爆发，一枝独秀的旅游业使泰国度过难关，直到今天旅游业对泰国经济的重要性也依然没有改变。泰国在不顾一切地追求利润、追求旅游业快速发展的同时，却忽略了环境保护与节约能源，此行为使生态环境受到极大的破坏。为了让旅游业能够持续健康

地发展以及让泰国人意识到节约能源和环境保护的重要性，泰国的有关部门推出了一个新的旅游观念——可持续性旅游并实施种种措施以推动旅游业的可持续发展，旅游业可持续发展这一目标不仅需要靠国家的实力来实现，同时也需要人民的实际行动和每个人的参与。

根据世界经济论坛发布的《2019 年旅游业竞争力报告》一文中，显示在东南亚地区，新加坡的旅游业最具有优势，居世界第 17 位，其次是马来西亚、泰国、印尼、越南，分别居世界第 29、31、40、63 位。此报告衡量了国家或地区旅游业的发展水平和国际竞争能力，由几个主要因素组成，其包括：旅游环境（商业环境、安全防范、健康与卫生、人力资源与劳动力市场、信息通信技术），旅游政策和条件（旅游业优先度、国际化程度、价格竞争力、环境可持续性），基础设施（航空基础设施、地面和港口交通、旅游服务设施），自然与文化资源（自然资源、文化资源与商务旅游）。数据还表明，与 2017 年相比，泰国、印尼、越南、菲律宾、柬埔寨的旅游竞争力排名有所上升，而新加坡、马来西亚、老挝的旅游竞争力排名有所下降，如图 1-1 所示。

图 1-1 2015、2017、2019 年东南亚国家在全球旅游业竞争力的排行
资料来源：世界经济论坛，《2019 年全球旅游业竞争力报告》

在评选旅游业竞争力的 14 项指数之中，泰国名列前茅的指数主要是：自然资源指数（排名第 10）、旅游服务基础设施指数（排名第 14）、旅游价格竞争指数（排名第 25），而在环境可持续性、安全防范、健康与卫生等项指数有待进一步改善，其排名分别为第 130、111、88。此外，还有 4 项衡量指标在下降，包括自然资源、价格竞争、航空运输基础设施以及环境可持续性，如表 1-1 所示。

表 1-1 2017、2019 年泰国在各项竞争力指标的排名

	竞争力指标	2017 年	2019 年
1.	自然资源	7	10
2.	旅游服务设施	16	14
3.	价格竞争力	18	25
4.	航空基础设施	20	22
5.	旅游业优先度	34	27
6.	文化资源与商务旅游	37	35
7.	人力资源与劳动力市场	40	27
8.	商业环境	45	37

表 1-1 2017、2019 年泰国在各项竞争力指标的排名(续)

	竞争力指标	2017 年	2019 年
9.	国际化程度	52	45
10.	信息通信技术	58	49
11.	地面和港口交通	72	72
12.	健康与卫生	90	88
13.	安全防范	118	111
14.	环境可持续性	122	130

资料来源：世界经济论坛，《2019 年全球旅游业竞争力报告》

众所周知，泰国除了拥有非常优美的自然风景和人文建筑之外，还拥有非常悠久的历史与文化，吸引着众多外国游客。为了能够维持旅游业快速发展趋势，泰国政府选择采取了种种措施以降低旅游景点的环境遭到破坏的可能性。例如：在每个旅游景点设有禁止随便扔垃圾、禁止吸烟、禁止吸毒、禁止携带塑料袋等宣传牌子，使旅游区恢复了原有的既清洁又优美的环境。在热门景点采取限制游客人数、采取增收使用税、采取不同价格体系和建立商业准入许可证等，使游客量不超过景点的承受能力，有利于降低对生态环境的破坏。

除此之外，泰国政府还建立了几个生态旅游示范地区，例如：泰国南部洛坤府的考峦山，实行名为"有责任心的、讲究生态和社会效益的旅游"的"生态旅游村"项目等。这些措施实施后之所以受到众多人的支持与配合，是因为人们意识到世界正在发生改变，为了拯救世界度过这一难关以及为世界作出一点贡献，从而逐渐改变自己的坏习惯。这些措施在受到众多人的支持与配合的同时，也有一部分人反对它的长期实行，这些反对群体认为以上措施不能从根本上解决问题，而泰国应严格管理犯法人群，谁破坏了旅游资源、动植物资源就要严格地进行处罚。

旅游业可持续发展既要保护生态环境，又要维护当地人民的生活与传统文化。在维护当地人民利益方面，游客可通过购买当地生产的产品实现对当地人民的经济帮助，这有利于提高当地人民的生活水平和收入情况。当地人民的生活水平提高了，给游客提供的各种服务也会逐渐完善，同时，他们生产产品的技术、材料的品质也会有所提升，使游客购买到价廉物美的产品。此时，旅游管理机构的行动非常重要，因为他们要给当地人民培训一些知识关于怎样生产出一个既能体现当地的特色文化又能保护生态环境的产品。在生产过程中，旅游管理机构也要严格地进行管理与审查，以降低对环境带来的破坏。泰国能否成功地改善景区环境，能否成功地维护旅游景点的传统文化和当地人民的利益，取决于我们每个人的实际行动。

到目前为止，泰国将进入 4.0 新时代，泰国政府对旅游业的可持续发展有了积极的态度，使其成为泰国旅游业的发展趋势之一。泰国政府推出的种种措施虽然实施了许多年并有了较好的成果，但与其它国家相比，还有待于进一步改善。泰国政府应该借鉴外国成功的经验来创造一个具有泰国特色的旅游，使泰国旅游业持续健康地发展。

长此以来，游客到泰国旅游的目的地主要集中在一线城市，如曼谷、芭堤雅、清迈、普吉岛等地，使得这些地区的经济蓬勃发展、基础设备以及交通设施也不断完善，而二三线旅游城市，如清莱、武里南、夜丰颂、乌隆、乌汶、也拉等地知名度较小，基础设施以及交通设施相对落后。泰国政府为了推广二三线旅游城市的游客接待能力和知名度，从而推出了"品尝、购物、

使用"措施，以扩大内需，刺激游客涌入二三线城市，既可刺激当地的消费和投资，又可挖掘旅游消费潜力。根据泰国旅游局的统计，发现游客在当地游玩的同时也会消费各种各样的产品与服务，其中，最受欢迎的产品是泰式美食，其次是化妆品/香薰产品、服装、纪念品、手工艺品、珠宝、泰国丝绸等，最受欢迎的旅游业务是泰式餐厅、泰式水疗与按摩店、文物古迹、生态旅游村等。

3. 泰国旅游业的发展潜力

随着互联网在全球范围内的广阔发展，我们将进入以信息化技术促进产业变革的时代——4.0 时代也就是智能化时代。在 4.0 时代越来越多的人以互联网、物联网、大数据、智能化、机器人等现代科技为支撑，使互联网成为人类交流的一部分。游客当想出去环游世界的时候，通常通过网站（如 Facebook、Instagram、Twitter、Baidu、Weibo、Airbnb、Skyscanner 等）参考当地旅游景点的各种资料，运用互联网完成订机票、订房间，来到当地时运用手机里的 App 寻找酒店的位置、当地的各种饮食、当地的文化习俗等。这些网站和 App 是通过收集游客的各种资料了解游客的需求，并给游客推荐最好、最合心意的旅游体验，一方面将满足于游客的需求，另一方面将有助于完善信息系统。

下面运用 SWOT 分析法分析了当前泰国旅游业的优劣势，发展空间及其存在的问题，以使推出了 SO 战略、ST 战略、WO 战略和 WT 战略。

表 3-1 泰国旅游业的 SWOT 分析及 SO、WO、ST、WT 策略

	优势 Strengths 1.旅游资源丰富 2.优越的地理条件 3.旅游业的快速发展 4.知名的旅游品牌较多 5.旅游费用相对便宜	劣势 weakness 1.旅游资源的管理与产业运行效率较低 2.缺乏环境保护意识 3.缺乏网络运营平台的基础设施 4.缺乏旅游管理专业人才 5.交通工具等基础设施不健全
机会 opportunities 1.AEC 及其它区域合作 2.互联网的广阔发展 3.消费者的消费观念 4.国际经济与社会的发展规划 5.泰国 4.0 的发展战略	SO 策略（利用策略） 1.资源优化配置 2.提高旅游景点的服务质量与标准 3.培养旅游管理专业人才 4.推广新型旅游营销战略 5.提倡保护生态环境 6.运用互联网以及区域合作这一好时机提高本国的竞争力	WO 策略（"改进"策略） 1.推广和支持符合国际标准的生产、旅游服务 2.按照国际标准提高政府服务效率、产业运行效率、人民的生活质量 3.利用互联网推广关于保护生态环境的信息 4.运用加入 AEC 和其它区域合作引进更多的外资投入于基础设施建设

表 3-1 泰国旅游业的 SWOT 分析及 SO、WO、ST、WT 策略(续)

威胁 threats	ST 策略（"监视"策略）	WT 策略（"消除"策略）
1.来自其他亚洲国家的竞争 2.生态环境趋于恶化 3.政局不稳 4.世界经济不景气、外界发生的种种问题	1.提高旅游产品附加值 2.提高旅游服务效率 3.借鉴外国在保护生态环境方面的经验来提高本国的管理效率 4.刺激国内消费，以拉动内需，减少对外的依赖程度	1.按照国际标准提高政府服务效率、产业运行效率、人民的生活质量，以增加竞争能力 2.加强人和社区的潜力

　　基于上述的分析，可见泰国旅游业的优势在于其拥有优越的地理条件、旅游及自然资源丰富、知名的旅游品牌较多、物价和旅游费用相对便宜，这些原因吸引着众多外国游客到泰国旅游，给泰国旅游业发展带来了积极效应。根据官方统计，2018 年泰国旅游业的收入超过 570 亿美元，超越日本，位居亚洲国家第一，位居全世界第四，仅次于美国、西班牙和法国。然而，泰国旅游业在蓬勃发展的同时，生态环境却遭到了破坏，其体现在空气污染越来越严重、噪音污染等问题。

　　泰国旅游业的劣势在于缺乏旅游管理专业人才，导致旅游资源的管理与产业运行效率偏低，全国网络运营平台、交通工具等基础设施不健全；不发达地区的物流系统不健全；人们的消费与旅游观念（缺乏环境保护意识）等问题给旅游业发展带来一定的影响。此外，国家生态环境趋于恶化、政局不稳、世界经济不景气以及外界发生的种种问题是制约泰国旅游业长期发展的瓶颈。

　　目前，政治局面的不稳定性给泰国旅游业的发展带来极大的影响。为了让国家继续向前，最当务之急是解决好政治上的问题，因为泰国政府的工作对宏观经济的调控发挥着重要作用。泰国政府一方面要尽快解决政治上的问题，另一方面要想方设法健全法律法规，弥补现有法律法规的漏洞，让各机构对发展可持续性旅游进行严格的管理，以让泰国拥有清洁和优美的环境。

　　泰国可以借鉴其他国家在保护生态环境方面的经验来提高本国的管理效率，尤其是美国和日本。美国推出了许多保护环境的法律并严格地进行管理，例如：《国家环境政策法案》、《空气清洁法案》、《国家环境政策法案》、《国家历史保护法案》、《原始区域法案》等。日本通过严格立法和有效执法来保护环境，例如：《市民农园促进法》、《农村休暇法》、《促进农、山、渔村地区发展逗留型旅游活动的相关基础建设之法律》等。这两国的实际行动使人们加强了环境保护意识，有效地减少了旅游时对环境的破坏。因此，泰国也要像这两个国家一样推出比现在更有效的法律并进行严格的管理，以实现旅游业的可持续性发展，让当代人和后代人同样享有欣赏自然风景的机会和权利，使旅游区拥有既清洁又优美的环境。

　　另外，泰国政府可以借助互联网的到来，运用大数据分析游客的需求，打造泰国现代多样性的旅游文化，同时，以"泰国 4.0 发展战略"为核心，积极推进国家向创新、高附加值迈进，运用互联网推广新型旅游营销战略；推广关于保护生态环境的信息；推广和支持符合国际标准的生产、旅游服务，以提高旅游产品附加值、产业运行与服务效率，进而提高国际竞争力。与此同时，应不断推进与加快 AEC 及其它区域合作的步伐，运用加入 AEC 和其它区域合作这一好时

机引进更多的外资投入于人才培养以及完善基础设施、交通运输、信息网络等系统，加强了人和社区的潜力，为泰国旅游业的长期发展奠定基础。

4. 小结

　　旅游业是泰国的支柱产业，也是泰国的第二大创汇产业。随着近几年全世界的人都在关心全球变暖问题，越来越多的人开始重视环境污染问题。泰国政府也注意到此问题的存在，于是，推出了既能保护生态环境又能维护当地人民的生活、传统文化的旅游——可持续性旅游并实施种种措施以推动旅游业的可持续发展。近十年来泰国政府建立了许多生态旅游示范地区、推出了各种各样的措施，一是改善国家的生态环境，二是改变人们的旅游观念，三是改善当地企业、当地人民的生活质量。改善旅游环境这一项任务存在许多发展空间，不管是游客、当地人民、当地企业、以及政府机构，所有人都有保护生态环境、保护本土文化的义务与责任。随着互联网的到来，泰国可以运用大数据分析游客的需求，以"泰国 4.0 发展战略"为核心，积极推进国家向创新、高附加值迈进，打造泰国现代多样性的旅游文化。运用加入 AEC 和其它区域合作这一好时机引进更多的外资投入于人才培养以及完善基础设施、交通运输、信息网络等系统，不只是泰国全国而是辐射到整个东南亚地区，一方面加强了人和社区的潜力，另一方面为泰国与整个东南亚地区旅游业的长期发展奠定基础。

　　为扩大泰国旅游业的国际竞争力，泰国政府应尽快解决政治上的问题，健全法律法规，并严格执行管理；尽快完善基础设施、交通运输、信息网络等系统；运用互联网平台推广旅游及相关信息，例如：推广新型旅游营销战略、推广关于保护生态环境的信息、推广和支持符合国际标准的生产、旅游服务；运用大数据分析游客的需求，以"泰国 4.0 发展战略"为核心，打造泰国现代多样性的旅游文化。

　　就企业而言，各地应因地制宜，开发环保产品和提高服务水平，进而提高产业运行效率；以互联网平台为主，推广旅游景点及其他相关信息，游玩的时候尽可能让大家知道自己有保护生态环境、保护本土文化的义务与责任。

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Brief Talk about Medical Tourism in Thailand and China Play the Interesting Roll in Service Trade

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Abstract

This paper is aim to research the medical tourism in service trade, paper would start from finding out how international platform like World Trade Organization or WTO give service trade, tourism and medical tourism definition and significant, then find out how Thailand's medical tourism meet with each current situations by use data analysis and document analysis method to analyze why and how Chinese tourist with tour choose Thailand to be medical tourism's destination.

Medical tourism is using travel and health care be a kind of tourism. Fan Yutao has published at 《Kexuecaifu》in 2013,11st about "since 2004 China and ASEAN have been cooperated about economic, community, and culture etc. with grand development. As in 2010 China and ASEAN Free Trade Area(AFTA) have established, China and ASEAN were continuously cooperated about tourism. In 2015 year ASEAN and China would realise the region economic integration, at this time would make Thailand and China's tourism development have a new more chances to cooperate with tourism development."

According to statistics, China already has 80 hospitals passed Joint Commission International or JCI in 2017 year, it more than 30 hospitals in Thailand, and be the number one of Asia, but the case of choosing Thailand for medical tourism destination, China tourist is the most in ASEAN. This point is really worth to follow and research.

浅谈中泰医疗旅游在服务行业的新兴起现象

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摘要

本文将以服务业中的医疗旅游或者 medical tourism 为研究大纲，并将从国际平台，像国际贸易组织给各种服务业定义为大纲，以泰国现代的医疗旅游及服务业在旅游业中作为现状分析，最后将通过各种文献以及数据进行中国跟团来的形式的游客在医疗旅游活动中分析。医疗旅游是将旅游和健康服务结合起来的一种旅游形式。范雨涛曾在《科学财富》2013 年第 11 期曾指出"2004 年以来，中国与东盟在经济、社会、文化等领域展开了全方位的合作，随着 2010 年中国与东盟自由贸易区的建立，中国和东盟的旅游合作不断深化，中国已与东盟各国互为重要旅游客源地。2015 年东盟将实现区域经济一体化，这将为中泰旅游发展提供新的契机。"

根据统计，以 2017 年为止，中国已有 80 多家医院通过 JCI 认证，比泰国多 30 多家，是亚洲排名第一的国家，而以医疗旅游为旅游目的，和东盟国家当中，选择泰国为医疗旅游的中国游客是最多的。本人认为这一点非常值得关注，并将通过文献研究法、信息研究法、描述性研究法等研究方法，为中泰旅游业进行现状研究。

关键词：浅谈服务行业、中泰医疗旅游、中泰医疗旅游业的新兴起

1. 医疗旅游业在国际平台的重要性

罗艺文在中国医疗旅游发展现状与分析指出"2002 年全球医疗旅游产业总产值不足百亿美元，2004 年该产业全球产值为 400 亿美元，2006 年增长到了 600 亿美元，预计到 2012 年该产业全球产值将达到 1000 亿美元。现今医疗旅游已成为具有巨大经济效益，全球增长最快的产业之一，越来越多的国家把医疗旅游作为一种产业的旅游项目加以扶持和发展。"

杜涛和王景艳认为"对医疗旅游的历史发展过程及概念类型的分析可以发现,专家学者对医疗旅游的概念众说纷纭,但都离不开"医疗"和 "旅游"这两个高附加值产业。"

2017 刘小颖在 "泰国医疗旅游发展对策研究"提到了 2007 年，Smith And Forgione 和 2011 年，Yeet al 对医疗旅游者行为研究中提出"服务质量是医疗旅游者在选择医疗旅游目的地时最重要的影响因素，除此之外，医疗旅游者还会考虑两部分因素，第一部分是国家层面的因素，主要包括：国家的经济现状、政治氛围、法律法规；第二部分是医疗机构的因素，包括：医院的价格、服务质量、治疗的时间长度、是否有杰出的医疗团队、是否得到了国际权威机构的认证等，他们通过对这些因素深入分析，提供了进一步开发医疗旅游市场的策略。"

本人将从国际贸易组织已经列出来的服务业种类开始，为了让读者在大范围的情况下，更加以了解旅游业和医疗旅游业的重要性，具体的内容，请参考如下的表：

SERVICES SECTORAL CLASSIFICATION LIST 服务行业分类

SECTORS AND SUB-SECTORS 主类及亚类   CORRESPONDING CPC 门类及大类

1.BUSINESS SERVICES 商业服务 CORRESPONDING CPC 门类及大类
Section B　B 门类

A.Professional Services 专业服务

a.Legal Services 法律服务

861

b.Accounting, auditing and bookeeping services 会计审计及簿记服务

862

c.Taxation Services　租税服务

863

d.Architectural services 建筑服务   8671

e.Engineering services 工程服务   8672

f.Integrated engineering services 综合工程服务   8673

g.Urban planning and landscape architectural services 都市规划及景观建筑服务   8674

8674

h.Medical and dental services 内科和牙科服务   9312

i.Veterinary services 兽医服务   932

j.Services provided by midwives, nurses,physiotherapists and para-medical personnel 助产士护士，理疗师和医务辅助人员提供的服务

93191

k.Other 其他

B.Computer and Related Services 电脑及其相关服务

a.Consultancy services related to the installation of computer hardware 与电脑硬体安装有关之咨询服务

841

b.Software implementation services 软体执行服务   842

c.Data processing services 资料处理服务   843

d.Data base services 资料库服务   844

e.Other 其他   845+849

C.Research and Development Services 研究与发展服务

a.R&D services on natural sciencesR&D 自然科学的研究和发展服务   851

851   851

b.R&D services on social sciences and humanities 社会科学和人文学科的研究和发展服务 852

c.Interdisciplinary R&D services 跨学科的研究和发展服务   853

D.Real Estate Services 不动产服务

a.Involving own or leased property 有关自己的或租赁财产的不动产服务   821

821

b.On a fee or contract basis 在收费或合同基础上的不动产服务   822

822

E.Rental/Leasing Services without Operators 未附操作员之租赁

a.Relating to ships 涉及船只   83103

b.Relating to aircraft 未附操作员之航空器有关之租赁（涉及航空权者除外）83104

c.Relating to other transport equipment 涉及其他运输工具   83101+83102+83105

83105

d.Relating to other machinery and equipment 未附操作员之其他机器和设备有关之租赁 83106-83109

e.Other 其他   832

F.Other Business Services 其他业务服务

a.Advertising services 广告服务   871

b.Market research and public opinion polling services 市场研究与公众意见调查服务 864
          864

c.Management consulting service 管理顾问服务   865

d.Services related to man. consulting 与管理顾问相关之服务   866

e.Technical testing and analysis serv.技术检定与分析服务   8676

f.Services incidental to agriculture, hunting and forestry 附带于农、牧、林的服务   881

g.Services incidental to fishing 附带于渔业的服务   882

h.Services incidental to mining 附带于采矿业的服务   883+5115

i.Services incidental to manufacturing 附带于制造业的服务 884+885(except for 88442)

j.Services incidental to energy distribution 附带于能源分配的服务   887

k.Placement and supply services of Personnel 人力仲介及供给服务   872
               872

l.Investigation and security 调查和安全服务   873

m.Related scientific and technical consulting services 与科技工程有关之顾问服务 8675
          8675

n.Maintenance and repair of equipment (not including maritime vessels, aircraft or other transport equipment) 设备维修服务（海运船只、航空器或其他运输设备除外）633+8861-8866

o.Building-cleaning services 建筑物清理服务   874

p.Photographic services 摄影服务   875

q.Packaging services 包装服务   876

r.Printing, publishing 出版印刷   88442

s.Convention services 会议服务   87909*

t.Other 其他   8790

2.COMMUNICATION SERVICES 通讯服务

A.Postal services 邮政服务   7511

B.Courier services 国际快递服务   7512

C.Telecommunication services 电信服务

a.Voice telephone services 话音电话服务   7521

b.Packet-switched data transmission services 分封交换式数据传输业务   7523**

c.Circuit-switched data transmission services 电路交换数据传输服务   7523**

d.Telex services 电报交换业务   7523**

e.Telegraph services 电报服务   7522

f.Facsimile services 传真服务   7521**+7529**

g.Private leased circuit services 出租电路业务   7522**+7523**

h.Electronic mail 电子文件存送服务   7523**

i.Voice mail 语音存送服务   7523**

j.On-line information and data base retrieval 咨询储存、检索服务   7523**

k.electronic data interchange (EDI) 电子资料交换服务   7523**

l.enhanced/value-added facsimile services, incl.store and forward, store and retrieve 价值传真（含存转、存取）服务   7523**

m.code and protocol conversion 编码及通讯协定转换服务   n.a.

n.on-line information and/or data processing (incl.transaction processing)咨询处理服务   843**

o.other 其他

D.Audiovisual services 视听服务

a.Motion picture and video tape production and distribution services 录影带及电影之制作与行销服务 9611

b.Motion picture projection service 电影放映服务   9612

c.Radio and television services 广播和电视服务   9613

d.Radio and television transmission services 广播和电视传输服务   7524

e.Sound recording 录音服务   n.a.

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*The (*) indicates that the service specified is a component of a more aggregated CPC item specified elsewhere in this classification list.

f.Other 其他

E.Other 其他

3.CONSTRUCTION AND RELATED ENGINEERING SERVICES 营造及相关工程服务业

A.General construction work for buildings 建筑物的一般建筑服务 512

      512

B.General construction work for civil engineering 土木工程的一般建筑工作   513

C.Installation and assembly work 安装和组装工作   514+516

D.Building completion and finishing work 建築物竣工和修整工作   517

E.Other 其他   511+515+518

4.DISTRIBUTION SERVICES 配销服务业

A.Commission agents' services 经纪商服务   621

B.Wholesale trade services 批发交易服务

      622

C.Retailing services 零售服务   631+632+6111+6113+6121

D.Franchising 经销   8929

E.Other 其他

5.EDUCATIONAL SERVICES   教育服务业

A.Primary education services 初等教育服务   921

B.Secondary education services 中等教育服务   922

C.Higher education services 高等教育服务   923

D.Adult education 成人教育   924

E.Other education services 其他教育服务   929

6.ENVIRONMENTAL SERVICES   环境服务业

A.Sewage services 污水处理服务   9401

B.Refuse disposal services 废弃物处理服务   9402

C.Sanitation and similar services 卫生和类似服务   9403

D.Other 其他

7.FINANCIAL SERVICES 金融服务业

A.All insurance and insurance-related services 保险服务业   812**

a.Life, accident and health insurance services 人寿，事故和健康保险服务   8121

b.Non-life insurance services 非人寿保险服务   8129

c.Reinsurance and retrocession 再保险和转分保   81299*

d.Services auxiliary to insurance (including broking and agency services)保险辅助服务（包括经纪业和代理行服务）8140

B.<u>Banking and other financial services</u> (excl. insurance)银行服务业

a.Acceptance of deposits and other repayable funds from the public 接受公众存款和其他应偿还基金 81115-81119

b.Lending of all types, incl., inter alia, consumer credit, mortgage credit, factoring and financing of commercial transaction 一切种类的租赁服务特别包括消费信贷抵押信贷代理经营和商业交易融资 8113

c.Financial leasing 金融租赁   8112

d.All payment and money transmission services 一切付款和现金转递服务   81339**

e.Guarantees and commitments 担保和承诺   81199**

f.Trading for own account or for account of customers,whether on an exchange, in an over-the-counter

market or otherwise, the following:在交易所或场外交易市场或在其他地方作为自己或客户的账户代理进行以下交易 81339**,81333,81321

    -money market instruments (cheques, bills,   81339**

      certificate of deposits, etc.)

    -foreign exchange   81333

    -derivative products incl., but not limited to,   81339**

      futures and options

    -exchange rate and interest rate instruments,   81339**

      inclu. products such as swaps, forward rate agreements, etc.

    -transferable securities   81321*

    -other negotiable instruments and financial   81339**

      assets, incl. bullion

g.Participation in issues of all kinds of securities, incl. under-writing and placement as agent (whether publicly or privately) and provision of service related to such issues 参与所有种类证券的发行包括作为代理商进行包销和销售新发行证券不论是公开还是私下进行并提供与证券相关的服务 8132

h.Money broking 货币经纪业   81339**

i.Asset management, such as cash or portfolio management, all forms of collective investment management, pension fund management, custodial depository and trust services 资产管理如现金或有债证券管理所有形式的集体投资管理养血金基金管理保管和信托服务 8119+**81323*

j.Settlement and clearing services for financial assets, incl. securities, derivative products,and other negotiable instruments 金融资产包括证券衍生物产品和其他转让票据的结算和清算服务 81339** or 81319**

k.Advisory and other auxiliary financial services on all the activities listed in Article 1B of MTN.TNC/W/50, incl. Credit reference and analysis, investment and portfolio research and advice, advice on acquisitions and on corporate restructuring and strategy 对 MTN.TNC/W/50 第 1B 条列出的所有活动提供咨询和其他辅助金融服务包括信用调查和分析投资和有债证券研究和咨询对收购及公司重组和战略提出建议 8131 or 8133

l.Provision and transfer of financial information,and financial data processing and related software by providers of other financial services 由其他金融的服务提供者提供和转让金融资讯金融资料处理和相关软体 8131

C.Other 其他

8.HEALTH RELATED AND SOCIAL SERVICES 健康及社会服务业

(other than those listed under 1.A.h-j.)

A.Hospital services 医院服务   9311

B.Other Human Health Services 其他人类卫生服务活动   9319(other than 93191)

C.Social Services 社会服务   933

D.Other 其他

9.TOURISM AND TRAVEL RELATED SERVICES 观光旅游服务业

A.Hotels and restaurants (incl. catering)旅馆与餐馆（提供饮食服务）   641-643

B.Travel agencies and tour operators services 旅行社及旅游服务   7471
                7471

C.Tourist guides services 导游服务   7472

D.Other 其他

10.RECREATIONAL, CULTURAL AND SPORTING SERVICES 休闲文化及运动服务业

(other than audiovisual services)

A.Entertainment services (including theatre, live bands and circus services) 娱乐服务（包括剧团现场乐团和马戏场服务）9619
                9619

B.News agency services 通讯社服务   962

C.Libraries, archives, museums and other cultural services 图书馆，档案馆，和其他文化服务 963

D.Sporting and other recreational services 体育和其他娱乐服务   964

E.Other 其他

11.TRANSPORT SERVICES 运输服务业

A.Maritime Transport Services 海运服务

a.Passenger transportation 客运   7211

b.Freight transportation 货运   7212

c.Rental of vessels with crew 配备船员的船只租赁   7213

d.Maintenance and repair of vessels 船只的维修   8868**

e.Pushing and towing services 推和拖服务   7214

f.Supporting services for maritime transport 内陆水道运输辅助性服务   745**

B.Internal Waterways Transport 内陆水道运输

a.Passenger transportation 客运   7221

b.Freight transportation 货运   7222

c.Rental of vessels with crew 配备船员的船只租赁   7223

d.Maintenance and repair of vessels 船只的维修   8868**

e.Pushing and towing services 推和拖服务   7224

f.Supporting services for internal waterway transport 内陆水道运输辅助性服务 745**

            745**

C.Air Transport Services 航空运输服务

a.Passenger transportation 客运   731

b.Freight transportation 货运   732

c.Rental of aircraft with crew 配备机组人员的航空器的租赁   734

d.Maintenance and repair of aircraft 航空器的维修   8868**

e.Supporting services for air transport 空运辅助性服务   746

D.Space Transport 太空运输   733

E.Rail Transport Services 铁路运输服务

a.Passenger transportation 客运   7111

b.Freight transportation 货运   7112

c.Pushing and towing services 推和拖服务   7113

d.Maintenance and repair of rail transport equipment 铁路运输设备的维修   8868**

e.Supporting services for rail transport services 铁路运输服务的辅助性服务

            743

F.Road Transport Services 道路运输服务

a.Passenger transportation 客运   7121+7122

b.Freight transportation 货运   7123

c.Rental of commercial vehicles with operator 配有驾驶员的商业货运车出租

  7124 7124

d.Maintenance and repair of road transport equipment 公路运输设备的维修 6112+8867

  6112+8867   6112+8867

e.Supporting services for road transport services 公路运输服务的辅助性服务 744

    744

G.<u>Pipeline Transport</u> 管道运输

a.Transportation of fuels 燃料运输   7131

b. Transportation of other goods 其他货物运输   7139

H.<u>Services auxiliary to all modes of transport</u>

a.Cargo-handling services 货物装卸服务   741

b.Storage and warehouse services 储存和仓储服务   742

c.Freight transport agency services 货运代理服务   748

d.Othe 其他   749

I.<u>Other Transport Services</u> 其他运输服务

12.OTHER SERVICES NOT INCLUDED ELSEWHERE 别处未包括的其他服务 95+97+98+99

  表中可见，国际贸易组织为服务业分成 12 类，旅游业属于全球服务业的第 9 类，称为 TOURISM AND TRAVEL RELATED SERVICES（旅游及与旅游相关的服务），其服务范围以 Hotels and restaurants (incl. catering)住宿及餐馆儿（包括餐饮）、Travel agencies and tour operators services（旅行代理公司及旅行社服务）、Tourist guides services（导游服务）等为主。医疗旅游是属于全球服务业中的第 8 类，称为 HEALTH RELATED AND SOCIAL SERVICES（与健康相关及社会服务），服务范围包含着 Hospital services（医疗服务）、Other Human Health Services（其他关于人的健康服务）、Social Services（社会服务）等。

  换一个角度来看，医疗旅游（Medical tourism）就是是健康旅游（Health tourism）的一部分，现在有着持续发展的趋势，并预计未来仍能持续快速发展。

  除此以外，医疗旅游还跟其他服务业有非常密切的关系，例如：TRANSPORT SERVICES（交通运输服务）、RECREATIONAL, CULTURAL AND SPORTING SERVICES（娱乐，文化及运动服务）等。此部分本人将在下面具体的解释。

2. 中国的医疗旅游的起源及现状分析

  本人将从 2012 年的文献作为医疗旅游的起源部分来进行分析，并将近期的 2017 至 2018 年进行医疗旅游的现状分析。罗艺文在 2012 年，中国医疗旅游发展现状与分析，中国医疗旅游兴起的原因部分指出几项值得参考的内容，如下："一、国际医疗旅游迅猛发展，巨大的经济效益

直接刺激中国医疗旅游的发展；二、中国拥有丰富医疗旅游资源；三、大幅提升的医疗卫生服务质量以及低廉的价格，为医疗旅游的顺利开展提供了必要条件"。在医疗机构缺乏认证部分罗艺文指出"医疗旅游者在选择目的地试考虑最多的（除价格因素外）是目的地医疗服务质量及效果，其选择的判断标准就是各国医疗服务国际认证程度的高低及医疗服务形象的好坏。JCI 是全世界公认的医院安全与规范管理的标志，是国际医疗卫生组织机构认证联合委员会（The Joint Commission on Accreditation of Healthcare Organizations，简称 JCAHO）用于对美国以外的医疗机构进行认证的附属机构。截至 2009 年，JCI 已为 36 个国家的医疗机构和政府卫生部门进行了指导和评审，共有 264 个医疗机构通过了 JCI 认证，亚洲共有 60 多家医院通过了 JCI 认证。现今印度已有 17 家医院、泰国有 18 家医院、新加坡有 14 家医院通过了 JCI 认证，台湾已有 12 家医院通过 JCI 认证，而中国大陆目前尚只有 15 家医院通过 JCI 认证。"

可见，当时医疗旅游出现了国际标准化问题，被认证的医疗机构还不够丰富，其中泰国仅有 18 所，中国只有 15 所等之少问题，可是与亚洲的其他国家相比后，不多也不少，而 2017 年最为更新的至今中国已经有了 19 家医院通过 JCI 认证。

3. 泰国的医疗旅游现状分析

2012 人民日报的文章中指出"泰国一直是热门的医疗旅游地之一，而近年来，泰国政府为了提升旅游业水平，开始着力推动医疗旅游发展，泰国国家旅游局与卫生部提出了把泰国打造为"世界医疗旅游服务中心"的战略计划，目前，泰国许多医院已经达到世界最高水平，甚至比美国略胜一筹。如比一来，省钱，顺便在泰国旅游，医疗费用比大多数西方国家和中东国家便宜 40%-70%等等。泰国卫生部的数据显示，2011 年赴泰国接受健康医疗服务的外国客人数达到 224 万人次，为泰国带来约 978 亿泰铢的收入；2012 年预计将有 253 万外国游客到泰国进行医疗旅游，未来 5 年内有望为泰国带来超过 8142 亿泰铢的收益。"

泰国 Voice 电视台近日报道"中国游客赴泰旅游的消费方式正在发生改变。今年 8 月，中国旅泰游客数量持续增长，特别是医疗旅游人数的增长，对泰国的私立医疗产业起到了推动作用。据彭博网站公布的最新数据显示，今年 8 月，中国赴泰医疗旅游人数超过 98 万人次，而去年同期的人数为 89 万，增长了 10．30％，为泰国医疗旅游市场同比增加收入 526 亿泰铢，增长率达 14．71％。值得注意的是私立医院的营业额也因此有所增长。"中国在泰国医疗服务客源国中排在前 5 位。近期从 Thailand Medical Hub，Department Of Health Service Support，Ministry Of Public Health 得知，2018 年泰国的 61 所医疗机构通过了 JCI 认证，其中有医院 47 家，门诊所有 14 家，证明泰国医疗发展越来越被国际医疗平台认可了。

4. 近三年的中国医疗旅游者来泰的现状分析

本人将从 2015 至 2017 年的泰国旅游与体育部统计的数据进行分析，分析内容，主要深入地队在跟团来泰的中国旅行者对"医疗"旅游方面的数据分析、中国旅游者在东亚和东盟国家的旅游者中的地位、针对中国旅行者在"医疗"的花费行为在旅游形式有何增减趋势，这三方面为主要研究。详细的数据，请参考：

表一 TOURISM RECEIPTS FROM INTERNATIONAL TOURIST ARRIVALS BY
EXPENDITURE ITEM January-December 2015 GROUP TOUR

Unit: Million Baht

Country of Residence	TOTAL	Shopping	Entertainment	Sightseeing	Accommodation	Food & Beverage	Local Transport	Medical Care	Miscellaneous
East Asia	**249,267.62**	**73,329.14**	**27,041.08**	**19,656.05**	**54,330.07**	**46,749.04**	**20,962.15**	**821.03**	**6,379.06**
Asean	**60,012.75**	**18,899.30**	**5,714.06**	**3,202.81**	**14,943.81**	**10,653.45**	**4,974.69**	**352.76**	**1,271.87**
Brunei	78.36	24.80	7.58	4.21	17.68	13.34	7.95	1.05	1.75
Cambodia	658.65	174.81	77.86	42.96	144.51	123.10	67.76	4.60	23.05
Indonesia	4,128.18	1,256.84	272.22	257.99	1,078.72	684.25	482.03	1.11	95.02
Laos	1,034.21	316.69	82.16	77.17	230.89	178.03	116.83	5.10	27.34
Malaysia	41,650.08	13,155.44	4,149.59	2,063.46	10,675.37	7,466.90	3,052.38	271.51	815.43
Myanmar	875.49	294.68	71.15	51.83	180.75	146.21	81.17	14.88	34.82
Philippines	1,553.58	457.46	131.32	104.87	341.03	259.47	204.66	7.56	47.21
Singapore	4,314.94	1,403.53	505.13	236.59	942.77	756.72	355.31	27.87	87.02
Vietnam	5,719.26	1,815.05	417.05	363.73	1,332.09	1,025.43	606.60	19.08	140.23
China	**156,364.71**	**45,474.32**	**17,487.83**	**14,539.61**	**30,729.57**	**30,132.02**	**13,601.45**	**230.58**	**4,169.33**
Hong Kong	4,307.56	1,254.82	465.03	255.45	1,014.03	838.70	360.93	0.60	118.00
Japan	7,751.36	1,637.39	852.91	503.65	2,468.66	1,343.41	630.89	123.78	190.67
Korea	17,385.88	5,145.65	2,158.17	865.15	4,408.57	3,058.98	1,116.41	104.21	528.74
Taiwan	3,010.04	785.71	315.12	260.21	655.84	653.77	244.32	6.67	88.40
Others in East Asia	435.32	131.95	47.96	29.17	109.59	68.71	33.46	2.43	12.05

从此表中可以看出，2015 年东亚国家级东盟国家中的 14 国家，中国大陆的旅客总数是最多的，详细的内涵以"购物"为第一、"住宿"为第二、"餐饮"为第三、"娱乐"为第四、"旅游观光"为第五、"当地交通运输"为第六、以"其他"为第七、"医疗"为第八来泰的目的。

表二 TOURISM RECEIPTS FROM INTERNATIONAL TOURIST ARRIVALS BY
EXPENDITURE ITEM January-December 2016 GROUP TOUR

Unit : Million Baht

Country of Residence	TOTAL	Shopping	Entertainment	Sightseeing	Food & Beverage	Local Transport	Medical Care	Miscellaneous
East Asia	**260,130.23**	**82,082.49**	**24,147.59**	**20,537.92**	**49,219.68**	**21,769.46**	**666.58**	**6,643.39**
Asean	**57,468.66**	**19,138.54**	**5,598.72**	**3,005.82**	**10,303.31**	**4,816.61**	**115.17**	**1,132.07**
Brunei	111.19	36.25	13.03	5.76	19.04	10.87	0.00	2.34
Cambodia	1,143.55	335.63	144.61	69.98	201.26	115.27	2.25	25.98
Indonesia	5,039.02	1,555.23	294.87	302.45	880.40	575.43	0.00	103.00
Laos	854.34	276.32	79.78	58.64	144.25	91.19	0.51	19.56
Malaysia	35,284.00	11,849.79	3,781.77	1,701.07	6,366.80	2,577.95	83.59	609.37
Myanmar	1,328.30	489.14	91.20	71.30	222.06	121.55	19.85	42.93
Philippines	1,891.87	583.78	140.84	131.17	325.08	241.81	0.00	54.79
Singapore	4,974.57	1,748.51	558.62	279.37	894.28	388.09	0.00	92.85
Vietnam	6,841.82	2,263.89	494.00	386.08	1,250.14	694.45	8.97	181.25

表二 TOURISM RECEIPTS FROM INTERNATIONAL TOURIST ARRIVALS BY EXPENDITURE ITEM January-December 2016 GROUP TOUR (Continued)

Unit: Million Baht

Country of Residence	TOTAL	Shopping	Entertainment	Sightseeing	Food & Beverage	Local Transport	Medical Care	Miscellaneous
China	**164,513.29**	**52,415.19**	**13,714.33**	**15,353.32**	**31,891.53**	**14,222.90**	**444.89**	**4,480.03**
Hong Kong	5,774.81	1,614.38	645.42	312.77	1,202.31	467.34	0.65	158.48
Japan	8,074.75	1,734.47	1,057.25	528.52	1,435.50	657.16	51.22	194.43
Korea	19,816.78	5,951.90	2,646.83	963.54	3,472.54	1,257.87	47.90	555.52
Taiwan	4,072.20	1,096.09	437.94	347.88	849.43	315.74	6.75	112.66
Others in East Asia	409.74	131.92	47.10	26.07	65.06	31.84	0.00	10.20

从此表中可以看出，2016 年东亚国家及东盟国家中的 14 个国家，中国大陆的旅客总数是最多的，详细的内涵以"购物"为第一、"餐饮"为第二、"旅游观光"为第三、"当地交通运输"为第四、""为第五、"娱乐"为第六、以"其他"为第七、"医疗"为第八来泰的目的。

表三 TOURISM RECEIPTS FROM INTERNATIONAL TOURIST ARRIVALS BY EXPENDITURE ITEM January-December 2017 GROUP TOUR

Unit : Million Baht

| Country of Residence	TOTAL	Shopping	Entertainment	Sightseeing	Accommodation	Food & Beverage	Local Transport	Medical Care	Miscellaneous
East Asia	**305,214.90**	**105,050.55**	**25,805.61**	**22,948.56**	**62,965.13**	**55,843.47**	**24,348.48**	**1,245.78**	**7,007.32**
Asean	**58,186.44**	**19,742.26**	**5,512.90**	**2,918.86**	**13,484.77**	**10,415.09**	**4,800.03**	**193.84**	**1,118.69**
Brunei	103.00	34.51	11.48	5.43	21.96	17.28	10.21	0.00	2.13
Cambodia	1,830.00	564.49	246.03	106.45	355.72	321.04	187.85	12.80	35.62
Indonesia	5,333.02	1,631.34	313.59	331.62	1,430.50	949.46	562.74	1.52	112.25
Laos	1,527.13	530.13	147.26	91.93	320.50	256.07	153.08	0.19	27.97
Malaysia	33,538.70	11,479.39	3,515.74	1,497.07	7,960.27	6,032.54	2,375.96	101.67	576.06
Myanmar	1,441.96	530.64	91.89	79.52	291.70	242.54	124.22	39.66	41.79
Philippines	2,036.92	647.26	138.09	146.39	444.11	356.87	252.81	0.00	51.39
Singapore	3,965.65	1,375.06	473.57	205.27	799.48	737.65	303.18	0.00	71.44
Vietnam	8,410.06	2,949.44	575.25	455.18	1,860.53	1,501.64	829.98	38.00	200.04
China	**201,494.79**	**72,382.26**	**14,205.26**	**17,466.93**	**38,441.97**	**36,949.94**	**16,368.96**	**963.00**	**4,716.47**
Hong Kong	5,422.01	1,436.81	643.72	295.70	1,289.26	1,159.33	446.78	3.92	146.49
Japan	9,505.29	2,109.37	1,390.90	610.05	2,685.83	1,702.94	750.72	40.64	214.84
Korea	25,685.14	8,065.14	3,541.95	1,243.97	5,910.76	4,636.84	1,596.83	15.00	674.65
Taiwan	4,419.17	1,147.59	452.27	380.91	1,036.81	897.97	348.51	29.38	125.73
Others in East Asia	502.06	167.12	58.61	32.14	115.73	81.36	36.65	0.00	10.45

从此表中可以看出，2017 年东亚国家及东盟国家中的 14 个国家，中国大陆的旅客总数是最多的，详细的内涵以"购物"为第一、"住宿"为第二、"餐饮"为第三、"旅游观光"为第四、"当地交通运输"为第五、"娱乐"为第六、以"其他"为第七、"医疗"为第八来泰的目的。

4.1 单元总结

本人通过 3 年的数据进行深度地分析后，发现跟团来泰接受医疗服务相关的目的，在 7 个旅游花费项目当中，前 6 个花费项目是随着年度相互变动地位的，而几乎没有变动的是"医疗"项目，虽然为了接受医疗服务，而来泰的旅游形式的比例比其他较为普通消费行为的还算少，但除了在 2015 年来自马来西亚的旅行者来泰接受医疗服务的人数和中国旅游者相比，是并肩的。更为值得关注的是详细地和其他国家相比以后，来泰为了接受医疗服务的中国旅行者的总数最多。除此以外，值得关注的是以医疗为旅游目的的行为仍然是医疗旅行者选择来泰国的代表性之一。

5. 2019 年泰国在旅行及观光竞争力报告中的地位

2019 年全球竞争力指数已公布，按照泰国旅游与体育部进行针对地分析，值得关注的是 7 项跟医疗旅游有较为密切的关系。本人将拿出和 2017 年全球竞争力相比后，地位已提升的几项，"旅游业的优先程度"方面，2016 年排名第 16，今年排名第 14；"健康与卫生"方面，2016 年排名第 90，今年排名第 88；"地面和港口基础设施"方面，2016 年排名第 72，今年排名第 72；"旅游服务基础设施"方面，2016 年排名第 16，今年排名第 14；"文化资源与商务旅游"方面，2016 年排名第 37，今年排名第 35；"人力资源与劳动力市场"方面，2016 年排名第 40，今年排名第 27；"安全防范"方面，2016 年排名第 118，今年排名第 111，其中两个年度的考察没有变动的是"地面和港口基础设施"方面。
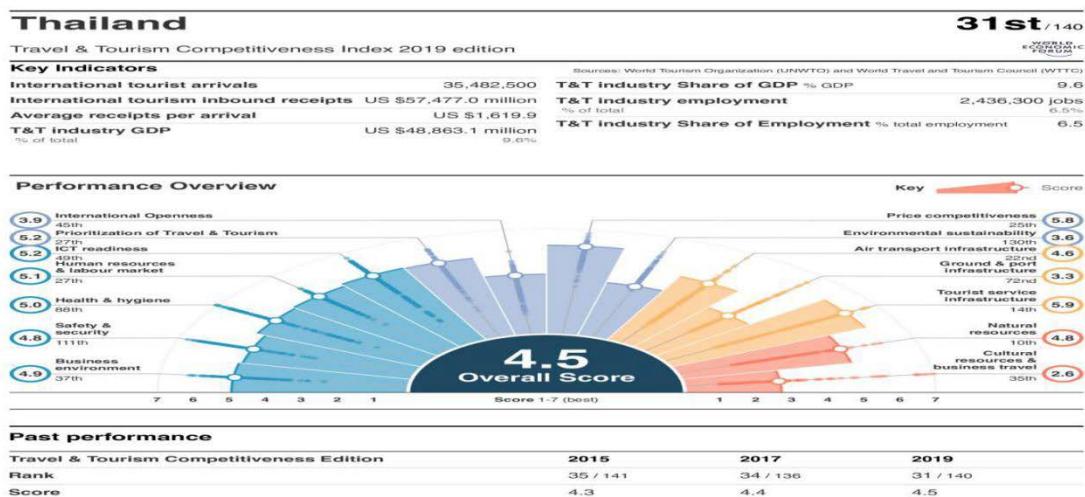
图一 2019 年泰国在全球竞争力指数

6. 总结

医疗旅游是属于全球服务业中的第 8 类，称为 HEALTH RELATED AND SOCIAL SERVICES（与健康相关及社会服务），服务范围包含着 Hospital services（医疗服务）、Other Human Health Services（其他关于人的健康服务）、Social Services（社会服务）等。除此以外，医疗旅游还跟其

他服务业有非常密切的关系，例如：TRANSPORT SERVICES（交通运输服务）、RECREATIONAL, CULTURAL AND SPORTING SERVICES（娱乐，文化及运动服务）。

2009 年中国共有 15 所通过 JCI 认证的医院，根据统计，以 2017 年为止，已有 90 多家医院通过 JCI 认证。2009 年当年 JCI 为 36 个国家的医疗机构和政府卫生部门进行了指导和评审，中国与其他亚洲国家相比，是并肩的。但是以 2017 年为止，通过 JCI 认证的中国医院在亚洲国家中排名第一。

2018 年泰国的 61 所医疗机构通过了 JCI 认证，值得关注的是中国通过 JCI 认证的医院及医疗机构比泰国多 30 多家，但是中国在泰国医疗服务客源国中排在前 5 位的原因，从深入地队在跟团来泰的中国旅行者对"医疗"旅游方面的数据分析、中国旅游者在东亚和东盟国家的旅游者中的地位、针对中国旅行者在"医疗"的花费行为在旅游形式有何增减趋势，这三方面的研究结果发现"医疗"对于中国游客，虽然在 5 项旅游的消费行为当中是比不上目的为购物、住宿及餐饮、旅游观光或当地交通运输这 4 项还算少，但和其他东盟国家相比，以医疗为旅游目的中国游客的旅游医疗人数是最多的。

2019 年全球竞争力指数已公布，按照泰国旅游与体育部进行针对地分析，值得关注的是 7 项跟医疗旅游有较为密切的关系，"旅游业的优先程度"，"健康与卫生"，"地面和港口基础设施"，"旅游服务基础设施"，"文化资源与商务旅游"，"人力资源与劳动力市场"，"安全防范"等。除了"地面和港口基础设施"不减也不多。其他 6 项和旅游及医疗有关系的数据提升的是使泰国旅游业的前途有可可以更充分地加以完善的机会。

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Research on Service Quality of After-school Child-care Centers for Primary Student in Hongta District, Yunnan

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Abstract

In recent years, with the reform of Chinese education, primary students 'spare time after school has prolonged, which has resulted in parents' inability to take care of their children during working hours. Thus, After-school child care centers have become a new hot spot in the education market. At present, there are many problems with after-school child-care centers in China, and the quality of services varies. Therefore, improving the quality of service is an important means for after-school child-care center to enhance competitiveness. In this study, the gap model and the SERVQUAL scale were used as guidance to design a questionnaire of service quality of after-school child care centers for primary students, and the questionnaire was used to investigate the service quality of four after-school child care centers for primary students in Hongta District, Yuxi City, Yunnan Province. It was found that the service quality of the four after-school child-care centers in Hongta District was not completely good, and the service quality of the centers needed to be improved, especially the tangible part.

Keywords: After-school child-care center, service quality

1. Introduction

After-school education has always been a topic of concerns. The education and safety issues of school-age children after school have attracted the attention of many governments. Due to differences in national conditions and government policies, after-school education varies from region to region. In china, the development of hosting education is relatively lagging behind, but with the reform of education, economic development and gender perception, needs of after-school child-care centers is increasing. Now there is no uniform standard for the entrance to the student hosting market, and many problems are affecting the service quality of after-school child-care center. The purpose of this study is to survey the service quality of after-school child-care centers for primary students in Hongta district. When investigate after-school child-care center's operate situation or service quality, the gap model and SERVQUAL scale is rarely chosen to as a basic to examine center's service quality, therefore, the research on service quality of after-school child-care center for primary students in Hongta district, Yunnan enriches the research in this field and research results of this study will also give researchers in the field

some new ideas.

2. After-school Child-care Center

2.1 Definition of after-school child-care center

According to the operation mode and the main body of responsibility, it is divided into profitable off-campus after-school child-care center, semi-public welfare hosting services provided by community and public welfare on-campus hosting services supported by the Government [8]. The after-school child-care center mentioned in this study is refers to profitable off-campus after-school child-care center. The profitable off-campus after-school child-care center of market-oriented operation is operated by private individuals, and hiring teachers and employees to service students, and parents need to pay hosting fees according to the type of hosting. This type of center has different standards and different quality of service. According to You [10], in addition to providing after-school hosting services, the center also provide pick-up services and catering services to students, so it cannot only be defined as educational organization. While providing services, the center should also pay attention to students' physical and mental health. Therefore, after-school child-care center should not only be defined as general for-profit service center, but also be educational and social service center.

According to the students' schedule, service type of after-school child-care center is divided into full day care, lunch break care, after school care and holiday care. In the survey results of Mu [7], the full day care is provide students with full-day life care also lunch and dinner, some after-school child-care center will provide breakfast; lunch break care refers to picking up students during school lunch breaks, and providing lunch and breaks room for students; after school care refers to pick up the students when school is over and provide dinner and homework coaching until the parents take the children home.

2.2 The Reason for the Rise of After-school Child-care Center

Wang [12] investigate some after-school child-care centers in Quhu and found that there are three reasons for the rise of after-school child-care centers. First is the logistics services provided by the school cannot meet the needs of students' studying and living; second is after-school child-care center meet the needs of customer; third is transformation of family structure and employment of women increased. Except the above reasons, Wang [13] points out that with the grim situation of employment, people's concept of career choice is diversified and entrepreneurship is enhanced. Due to the increasing employment pressure, more and more people are beginning to change their career choices and try to start a business. The needs of the market and people's attention have spawned this emerging industry.

3. Service Quality

The concept of service quality was first proposed by Levit in the early 1970s, and Levitt [15] defined service quality as service results meet the standards set by the customer or not. However, the real emphasis on quality issues in the service industry began with the Gronroo's views put forward in 1980 [1]. Gronroos [3] defined service quality as a subjective category determined by customer expectations of service quality and actual perceived service levels, Gronroo's definition of service quality provides the basis for the development of service quality.

3.1 The Gap Model

The gap model is put forward by Parasuraman, Zeithaml and Berry (PZB for short) in 1985, it include 5 gaps which are [14]: Gap 1 (knowledge gap) is refers to the gap between the service provider or the company's understanding of customer expectations and actual customer expectations. Gap 2 (standards gap) is refers to the difference between the manager's understanding of customer expectations and the service standards that are set to satisfy customer. Gap 3 (delivery gap) is Refers to the gap between the established service standards and the service provider's implementation services. Gap 4 (communication gap) is refers to the gap between the service standards actually delivered by the service provider and the service standards it promotes. Gap 5 (service gap) is refers to the gap of customer's expected service and the customer's perceived service. The gap 5 depends on the size and direction of the other four gaps related to service provider in the quality of service delivery process, and is a result of the accumulation of the other four gaps [2]. The study is guided by Gap 5 to understand is there a gap between parents' expectation and actual perception of service quality of after-school child-care center in Hongta district.

From the gap model, service quality is the gap of customer's expected service and the customer's perceived service. The level of service quality can use formula "$Q = P - E$" to explain, Q is service quality, P is customer's actual perceived service, and E is customer's expected service. The level of service quality is explained as below table:

Table 1 Customer's Evaluation Results of Service Quality

P≪E	P<E	P=E	P>E	P≫E
Q≪0	Q<0	Q=0	Q>0	Q≫0
Service quality is very low	Service quality is low	Service quality is general	Service quality is good	Service quality is very good

3.2 SERVQUAL evaluation model scale

SERVQUAL model (Fig.1)is abbreviation of service quality, and is an evaluation method put

forward based on the gap model by Parasuraman, Zeithaml and Berry (PZB for short) in 1988, and it is widely recognized as a typical method of service quality evaluation [9].
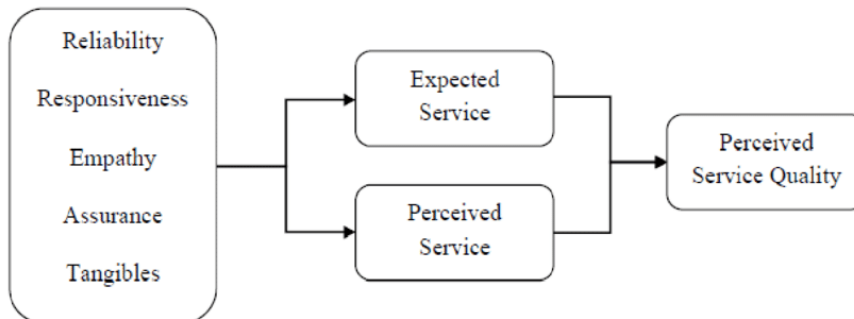

Fig.1 SERVQUAL Model [16]

The SERVQUAL scale includes 22 items in 5 dimensions which are tangibles, reliability, responsiveness, assurance and empathy. The content of 5 dimensions is explain as follows:Tangibles refers to the tangible, visible parts of the service, including the equipment, facilities, instrumentation of the service provider, and materials used for communication, etc; Reliability refers to provide timely and accurate service; Responsiveness refers to service provider who can provide services quickly and efficiently; Assurance refers to service provider has relevant knowledge, good attitude and ability to let customer trust; Empathy is refers to caring for customer, understanding the actual needs of customer, and providing personalized services.

4. Research Instrument

4.1 Research Instrument Design

Questionnaire of service quality of after-school child-care center for primary students is the research instrument of this research (Table 2). The purpose of the questionnaire is to investigate whether there a gap between parents' expectation and perception of service quality of after-school child-care center in Hongta district.The questionnaire is designed based on the gap model, SERVQUAL model and characteristic of after-school child-care center.

Table 2 Evaluation Dimensions and Contents Description of Service Quality of After-school Child-care Center

Dimension	Definition	Description
I. Tangibles (Q1-Q10)	The tangible, visible parts, including the equipment and facilities, the dress and appearance of the employees and related materials for providing services.	The space, classroom, teaching materials, lounge, toilet, modern teaching equipments, food, fire facilities, dress of staffs and teachers, relevant regulations, etc. visible and felt tangible things of the after-school child-care center.
II. Reliability (Q11-Q16)	Provide timely and accurate service	The Center is able to provide the promised services in a timely and accurate manner, and has the ability to fulfil its commitments with minimal errors.
III. Responsiveness (Q17-Q21)	Provide services quickly and efficiently	Staffs and teachers can provide services quickly and efficiently, respond to students and parents at any time, and be able to notify all scheduled times.
IV. Assurance (Q22-Q27)	Employees have knowledge and ability to make customer trust.	Staffs and teachers have the relevant knowledge to service and educate students, and they have good attitude and courtesy, and make students and parents to trust the center and feel safe in the process of receiving services.
V. Empathy (Q28-Q33)	Caring for customer, understanding the actual needs of customer, and providing personalized services.	Caring for students and parents, understanding the actual needs of each student and parent, and providing personalized service.

The questionnaire includes 33 questions in 5 dimensions which are tangibles, reliability, responsiveness, assurance and empathy, questions are divided into five part according to dimensions and items which are be included in them, and the level of acceptance is set with Likert 5 point scale.

4.2 Quality of Instrument

After questionnaire items checked by the experts and revised, the researchers did a reliability test on the questionnaire. In general, Cronbach α coefficient above 0.6 indicates that the study is feasible, and while a score above 0.8 indicates that the questionnaire has a high internal consistency (Hong, 2007). And the results showed that the questionnaire is reliable (Table 3).

Table 3 Reliability Test Result of Questionnaire of After-school Child-care Center

Dimension	Number of Items	Cronbach's Alpha of Expectation	Cronbach's Alpha of Perception
All scale	33	0.951	0.917
Tangibles	10	0.823	0.794
Reliability	6	0.840	0.698
Responsiveness	5	0.815	0.772
Assurance	6	0.809	0.747
Empathy	6	0.861	0.719

5. Result

According to the gap model, the service quality is the gap between customer's expectation and perception. If the expectation > perception, the service quality is low; if expectation = perception, the service quality is general; and if the expectation < perception, the service quality is good. The result found that, service quality of 26 items is low, item 32 "Teachers provide appropriate teaching to students in accordance with their need." in empathy dimension have the lowest quality; service quality of two items is general, which are item 17 "Parents and students can receive notifications of scheduled appointments on time." and item 21 "Parents can always get to know the situation of the students through the staff and teachers." in responsiveness dimension; and service quality of five items is good, which are item 28 "Special attention is given to each student.", item 9 "Staff and teachers have neat clothing and looks.", item 19 "The teacher corrects the student's homework timely.", item 30 "Service hours can be flexibly adjusted to the needs of students and parents.", and item 15 "When there is a problem with the student or parent, the employee and the teacher will try to help solve the problem.". Among them, item 5 have the best quality, and the gap score is 0.05. (Details in table 4)

Table 4 Service Quality of each item of After-school Child-care Centers in Hongta District

Item	Gap Score	SQ Sort (Sort by SQ from low to good)	Level of Service Quality
Q1.	-0.11	11	Low
Q2.	-0.06	20	Low
Q3.	-0.15	5	Low
Q4.	-0.06	21	Low
Q5.	-0.04	25	Low
Q6.	-0.12	8	Low
Q7.	-0.06	22	Low
Q8.	-0.16	4	Low
Q9.	0.02	30	Good
Q10.	-0.1	13	Low
Q11.	-0.09	14	Low
Q12.	-0.12	9	Low
Q13.	-0.05	24	Low
Q14.	-0.01	26	Low
Q15.	0.05	33	Good
Q16.	-0.09	15	Low
Q17.	0	27	General
Q18.	-0.14	7	Low
Q19.	0.02	31	Good
Q20.	-0.08	17	low
Q21.	0	28	General
Q22.	-0.12	10	Low
Q23.	-0.15	6	Low
Q24.	-0.11	12	Low
Q25.	-0.19	3	Low
Q26.	-0.09	16	Low
Q27.	-0.2	2	Low
Q28.	0.01	29	Good
Q29.	-0.07	19	Low
Q30.	0.03	32	Good
Q31.	-0.06	23	Low
Q32.	-0.25	1	Low
Q33.	-0.08	18	Low

For total service quality of after-school child-care centers and service quality of each dimension, it shows that the service quality of after-school child-care centers in Hongta district is low. (Details in table 5)

Table 5 Service Quality of each Dimension of After-school Child-care Centers in Hongta District

Dimension	Gap score	SQ Sort (Sort by SQ from low to good)	Level of Service Quality
Tangibles	-0.84	1	Low
Reliability	-0.052	3	Low
Responsiveness	-0.04	6	Low
Assurance	-0.14	4	Low
Empathy	-0.07	5	Low
Total	-0.77	2	Low

6. Discussion and Conclusion

This research "Research on Service Quality of After-school Child-care Centers for Primary Student in Hongta District, Yunnan" is objective to investigate the service quality of after-school child-care centers in Hongta district. To analyze quantitative data, the researcher has analyzed the descriptive statistics to explain the parent's expectation and perception of the center's service quality.

According to the gap model, service quality = customer's perception -customer's expectation, it means that the gap between customer's perception and expectation is measurement of service quality. Form table 4, it found that service quality of 26 items is low, 2 item's quality is general, 5 item's quality is good. It means that most service provides by after-school child-care centers in Hongta district are not meeting parent's expectation, but the gap is not big. Some items meet parent's expectation and even better than parent's expectation, it means that in some part, the center's service quality is good and parents are satisfied with them.

From table 5, it shows that service quality of after-school child-care centers is low. Among them tangibles is the lowest. For privately owned centers, there is insufficient funding to ensure that the center has high-quality facilities, as Yu (2017) point out that most of the after-school hosting classes have failed to create an ideal physical environment for elementary school students' after-school education.

According to the research result, it found that total service quality of after-school child-care centers in Hongta district is low; the service doesn't meet customer's expatiation. It recommends that the service quality of the centers need to be improved especially the tangibles part.

This research was investigating service quality of after-school child-care centers in Hongta district, the results are varied geographically, depending on the location; the further research can expand the research area or design the research according to the characteristics of the research setting. In this study，only 4 centers allowed the researcher to conducting research, sample size of this research is very small, the results may not reflect the overall situation, the future studies can ask more centers to allow to conduct survey and expand the sample size to obtain more comprehensive results.

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