

ISSN: 2581-8651



theshillonga

JHED

**Journal of Humanities and Education
Development**

Cross Ref DOI: 10.22161/jhed

<https://theshillonga.com/index.php/jhed>

Volume - 6 | Issue - 5

Sep-Oct, 2024

TheShillonga Publication

Journal of Humanities and Education Development (JHED)

(ISSN: 2581-8651)

DOI: 10.22161/jhed

Vol-6, Issue-5

September - October, 2024

Editor in Chief

Dr. Manoj Kumar

Copyright © 2024 Journal of Humanities and Education Development (JHED)

Publisher

TheShillonga Publication Group

Email: theshillonga.jhed@gmail.com

Web: <https://theshillonga.com/index.php/jhed/index>

FOREWORD

I am pleased to put into the hands of readers Volume-6; Issue-5: 2024 (September - October 2024) of “**Journal of Humanities and Education Development (JHED) (ISSN: 2581-8651)**”, an international journal which publishes peer reviewed quality research papers on a wide variety of topics related to, Humanities and Education development. Looking to the keen interest shown by the authors and readers, the editorial board has decided to release print issue also, journal issue will be available in various library also in print and online version. This will motivate authors for quick publication of their research papers. Even with these changes our objective remains the same, that is, to encourage young researchers and academicians to think innovatively and share their research findings with others for the betterment of mankind. This journal has DOI (Digital Object Identifier) also, this will improve citation of research papers.

I thank all the authors of the research papers for contributing their scholarly articles. Despite many challenges, the entire editorial board has worked tirelessly and helped me to bring out this issue of the journal well in time. They all deserve my heartfelt thanks.

Finally, I hope the readers will make good use of this valuable research material and continue to contribute their research finding for publication in this journal. Constructive comments and suggestions from our readers are welcome for further improvement of the quality and usefulness of the journal.

With warm regards.



Dr. Manoj Kumar

Editor-in-Chief

Journal of Humanities and Education Development (JHED) (ISSN: 2581-8651)

<https://theshillonga.com/index.php/jhed/index>

DOI: 10.22161/jhed

Date: November, 2024

International Editorial/ Reviewer Board

Dr. Manoj Kumar

Assistant Professor, English Department, Amity University, Jaipur, India

Dr. Rose Asayas Arceño

Faculty, Educational Management, and Research

College of Graduate Studies, Palompon Institute of Technology, Palompon, Leyte, Philippines

Prof. Dr. Andrew Sagayadass Philominraj

Director, M.A. in English Didactics, Academic & Researcher, School of English Pedagogy, Department of English, Faculty of Education, Universidad Católica del Maule, Talca - Chile

Dr. Osama Mahmoud Abu Baha

Assistant Professor English Language and Literature, University College of Educational Sciences -UNRWA

Prof. Dr. Misbah Mahmood Dawood AL-Sulaimaan

Dept. of English/ College of Education and Languages/ Lebanese French University, Kurdistan Region - Iraq

Agnieszka Hendo-Milewska

Ph D., Director of the Faculty of Psychology, Private University of Pedagogy in Bialystok, Poland

Area of Interest: Psychology

Dr. H.Saremi

Vice- chancellor For Administrative & Finance Affairs, Islamic Azad university of Iran, Quchan branch, Quchan-Iran

Damianus Abun

Doctor of Philosophy in Management

Faculty of the College of Business, Divine Word College of Vigan and Divine Word College of Laoag, Philippines

Area of Interest: Business Management, educational management, ethics, philosophy, religion, theology

Tem Protus Mbeum

Lecturer, Department of History, Bamenda University Institutes of Science and Technology, Bamenda, Camroon

Sanibe Emmanuel Traore

Researcher in Terrorism in the Sahel, Mali

[Decoding Iran's Proxy Strategy: Determent or Destabilization? A Review and Scientific Commentary](#)

Ellias Aghili Dehnavi, Abitn Safavipour (Author)

[Research on Recontextualization Strategies in Translation of Quotations from Chinese Classics in The Governance of China from the Perspective of Skopos Theory](#)

Wu Qiong (Author)

[A Corpus-based Teaching Design of Junior High School English Reading from the Perspective of Schema Theory](#)

Na Luo (Author)

[An Analytical Examination of Iran-USA Relations Post-Islamic Revolution: Extended Scientific Review](#)

Ellias Aghili Dehnavi (Author)

[The Trump Doctrine: Redefining U.S. Foreign Policy through Immigration, Security, and Diplomacy](#)

Ellias Aghili Dehnavi (Author)

[A Comparative Study of Black Humor as Seen in Catch-22 and A Good Man Is Hard to Find](#)

Li Hang (Author)

[Knowledge and Impact of Heads of Schools Administrative Training on School Financial Management in Public Secondary Schools in Mbeya Rural District, Mbeya Region, Tanzania](#)

Thadeo Chundu, Lucas Mwachombela, Brown Gwambene (Author)

[The Effect of Human Resources Quality and Work Commitment on Employee Performance of Regional Drinking Water Company Mual Na Tio Tarutung](#)

Niarita Bukit, Holmes Rajagukguk, Samsul Hutasoit (Author)

[Development of Character Education Curriculum Management Based on the Integration of Pancasila Values in PAUD Tampahan District Toba Regency](#)

Rosalinda Septiani Sitompul, Binur Panjaitan, Arip Surpi Sitompul (Author)

[Key Problems and Solutions in Teaching Turkish as a Foreign Language: A Literature Review](#)

Kawar Abdulqader (Author)

[AI Development in Germany After the Publication of German Nation AI Strategy, Problems and Solutions](#)

Reza Nicknam, Seyyed Rouhollah Hadj Zargarbashi, Abtin Safavipour (Author)

[An Overview Regarding the U.S domestic Economic Strategies: Role of Think Tanks](#)

Ellias Aghili Dehnavi, Mohammad Mahdi Niafar, Kanan Ahmadzada (Author)

Investigating the Effectiveness of Online Interactive Modules on Enhancing Mathematical Proficiency in Grade VI Students of Phuentsholing Primary School

Raj Kumar Chhetri, Sangay Penjor (Author)

Contribution of School Management Strategies and Effective Supervision on Students' Academic Performance in Secondary School in Iringa Municipality in Tanzania

Castory Lugusi, Simion Ambakisye, Frola Kasumba (Author)

A Study into the Strained Love Relationships: The Issues of Caste and Gender in Arundhati Roy's The God of Small Things

Hena Biswas (Author)

Decoding Iran's Proxy Strategy: Determent or Destabilization? A Review and Scientific Commentary

Ellias Aghili Dehnavi¹, Abitn Safavipour²

¹Ph.D. Candidate at Adam Mickiewicz University, Faculty of Political Science and Journalism, Department of Non-European Political Studies, Poznan, Poland, ORCID: 0009-0001-9238-056x (Corresponding Author*)

²MA in German Studies at the University of Tehran, Faculty of World Studies, Tehran, Iran, ORCID: 0000-0003-0630-7161

Received: 22 Jul 2024; Received in revised form: 19 Aug 2024; Accepted: 27 Aug 2024

©2024 The Author(s). Published by TheShillonga. This is an open-access article under the CC BY license (<https://creativecommons.org/licenses/by/4.0/>)

Abstract

In Middle Eastern geopolitics, Iran's use of proxy forces has become an important strategy that shapes the region and challenges traditional ideas about deterrence and stability. By strategically placing armed groups across Iraq, Syria, Lebanon and Yemen, Iran exercises influence over these territories that often blur the boundary between state and non-state actors. This complex web of alliances raises critical questions: Is Tehran's approach a calculated attempt to deter enemies while projecting power? Or is it just a recipe for more destabilization in an already volatile area? In this review article we will examine Iran's proxy strategy closely looking at its historical background, motivations behind it as well as implications on both regional security and international relations; we will see whether this is a style in the Iranian political structure for security maintenance- like or unlike the styles in the American Politics¹[1]

Keywords— Regional Conflicts, Regional powers, Main Actors, Iran, Proxies, World Powers, Middle Powers

I. INTRODUCTION

As World War II came to an end, the issue of proxy groups became widely used in political literature, and proxy conflicts became a common event in international relations. Proxy conflict is the sharing of the costs of war in order to minimize its costs to taxpayers, politicians, and the domestic military. Proxy conflict can be considered a cooperative war in which a degree of strategic and operational cooperation is seen between ordered and disordered forces. In proxy conflicts, instead of going to war with each other directly, the involved powers try to weaken the faced government or put pressure on it by providing financial support, supplying weapons, along with propaganda, from other countries or armed groups that are at war with the opposite government or its allies. In fact, due to the high political, economic, and human costs of war, the parties try to attack the other side and pursue their interests through the support of third parties and governments. Andrew Mumford (2013) in his article called "Proxy Warfare and the Future of Conflicts", believes that in a

bipolar world, the high costs of military conflict between two superpowers and avoiding a nuclear war that could lead to the complete destruction of both, lead them to the use of cheaper methods of confronting each other. In this regard, proxy forces were employed as a seemingly safer way of continuing hostilities. The Iraq war against Iran was the only war that Saddam imposed on Iran on behalf of both superpowers and with the aim of restraining the movement of the Islamic revolution.

Abolhasan Shirazi (2015) in an article titled "Measuring the Impact of the Competitive Element on the Proxy Wars of Iran and Saudi Arabia" writes that a proxy war takes place to expand influence in a common competitive environment. In other words, the warring parties try to advance their conflict in their external geopolitics, and according to an unwritten agreement, they avoid tension and conflict in their internal geopolitics and control it as much as possible. However, the difference between the soft and hard power of the two countries can also be one of the reasons for the tendency to proxy wars. From the point of view of Roozbeh

¹ Aghili Dehnavi, E., & Fiedler, R. (2024). The Styles in the American Politics Volume II, Conservative Think tanks and their Foreign Policy: A Booklet (1st ed., Vol. 2). Tredition.
https://www.researchgate.net/publication/379449531_The_Styles_in_the_American_Politics_Volume_II_Conservative_Think_Tanks_and_Their_Foreign_Policy_A_Booklet

Parsapour (2015) in the article "Regional Proxy Wars and Greater Middle East Plan", if it is assumed that country "A" is significantly more powerful than country "B", then country "B" considers the best option to confront with "A" in resorting to a proxy war.

Another reason for resorting to proxy forces is the need for public opinion to support wars at the international level and to worry about global reactions if a country directly enters a war with another country. Thus, the important role of the media in American politics has been one of the main reasons for the popularity of proxy wars. Most of the time, after the occurrence of important wars, the American media started publishing anti-war views, which caused pressure on the government; therefore, countries that cannot provide the necessary justifications for public opinion to directly enter the war prefer to resort to proxy wars.

In the post-Cold War era, proxy wars became more common and became an integral part of regional conflict in West Asia. In Moslinejad and Samadi's article (2018) entitled "Saudi Arabia's strategic policy in the geopolitical expansion process of the Middle East Crisis", it is pointed out that the United States, Saudi Arabia, and Israel have always accused Iran of conducting proxy wars as a tool for "issuing the Islamic Revolution", "supporting international terrorism" and "spreading Shia". Moreover, the discourse of the Shiite Crescent, which was used by King Abdullah of Jordan, refers to the concept of the necessity of confronting Iran's ideological and identity role in the Arab countries of the Middle East. From the point of view of Americans, Iran is a force that disturbs regional stability, supports terrorism, and violates human rights, which seeks to expand its influence among Shiites in different regions of the world.

These claims have caused the world-dominating powers to apply various pressure methods to reduce the power of Iran, including sanctions, taking advantage of reactionary Arab regimes, and utilizing proxy wars. In July 2006, the Zionist regime planned to take military action against Iran in order to change the balance of power in the region. However, the high cost of a direct war with Iran made the most important regional ally of Iran, Hezbollah, Lebanon, to be targeted. In this way, after the Cold War, the first proxy warfare in West Asia began with the aim of weakening the Islamic Republic of Iran, which is known as the 33-day military conflict. In addition, the Syrian war is the second largest war in the

region, which has been analyzed from its emergence as a proxy warfare against Iran and the Axis of Resistance.

On the other hand, the motivational system of Islamic Republic rulers and the economic, military, and geopolitical capabilities of Iran, as well as the structure of the international system, have made foreign policy of Iran after the collapse of the bipolar international system, to employ a new strategy to secure national interests and defend its national security. In this regard, the mentioned issue includes the use of non-governmental allies active in the region, whose position in the decision-making process of the foreign policy of Iran has been increasing.

Therefore, this research aims to know and realize why the tendency of the Islamic Republic of Iran is toward proxy groups after the end of the bipolar system. However, this issue allows for a better comprehension of Iran's foreign policy in West Asia. The main question raised in this research is what was the reason for the favor and attention of the Islamic Republic of Iran to proxy groups in the Middle East after the collapse of the bipolar system and what effect did these groups have on the national security of Iran and the power equations of West Asia region? The hypothesis of the research is that: "Iran, with a security-oriented approach, following the aim of increasing strategic depth, and also with a benefit-oriented approach, trying to solve the paradox of de-escalation in international relations while maintaining ideals, seeks to support proxy groups in the region and the position of these groups in the Iranian foreign policy strategy is to institutionalize a kind of balance against the threats of enemies in the peripheral areas of the Islamic Republic of Iran.

In other words, after the collapse of the bipolar system, the extent and severity of the threats from the United States to the national security of other countries is such that one actor alone will not be able to deal with it effectively and directly. Therefore, the formation and support of aligned groups in the region is a kind of asymmetric battle to defend the security and existence of the Islamic Republic against America's enmities; the use of proxies can also benefit the Iranian government in various areas of political and geopolitical scenarios, this technique can indirectly affect the neighboring countries' foreign policy patterns²[2] towards cooperation³[3] or disintegration⁴[4]; we should not forget the fact that the over use of proxies might affect the

² Dehnavi, E. A., & Adami, A. (2023, February 11). UAE foreign policy patterns after 2018 until now based on discourse analysis. <https://www.multiresearchjournal.com/arclist/list-2023.3.1/id-917>

³ Dehnavi, E.A. and Savoj, M., 2021. The Unification of the Phoenix and the Dragon: China, Iran, Middle East. *trdition*.

⁴ Dehnavi, E. A., & Nourmohammadi, M. (2023, February 5). Factors of the prevalence of authoritarianism and the push on democratization in the Middle East. <https://www.multiresearchjournal.com/arclist/list-2023.3.1/id-890>

presence of foreign forces in a region filled with tensions and rivalries⁵[5]

II. GENERAL IMAGE OF THE IRAN'S PROXY STRATEGIES

2.1) A strategy based on Deterrence

Iran's proxy strategy is a complex and multifaceted approach that has attracted significant attention and analysis from academics, policy-makers, and security experts. At its heart this strategy revolves around using non-state actors as well as militant groups to expand Iranian influence throughout the Middle East – often with geopolitical goals in mind. By nurturing ties with different factions such as Hezbollah in Lebanon or the Houthis in Yemen, Iran has created an effective network of proxies which can project power while maintaining plausible deniability.

It is important to understand why Iran engages in proxy warfare; this tactic acts as a deterrence against perceived threats especially those coming from rivals like US⁶[6] and Saudi Arabia, but at the same time, also allows Iran to participate in asymmetric warfare. Rather than deploying conventional military forces, these proxy groups are used by Iran for various reasons including destabilizing rival states, supporting aligned regimes and challenging other powers' influences over regions nearby. Nevertheless, the consequences of this approach are not only limited to military clashes; The complex set of friendships and enmities created by Tehran raises serious concerns over what will happen in future as far as stability and safety in the Middle East are concerned and this can easily affect other aspects of the power equations in this region⁷[7].

Before reviewing the main facets of such strategies, it is important to know the history behind the usages of the proxies; probing the history provide us with more options and shed light on our analysis.

2.2) Theoretical Framework and Operational Definitions

Deterrence vs. Destabilization: Defining the Terms

To understand Iran's complex proxy strategy, it is crucial to define the terms "deterrence" and "destabilization," as they underpin the motivations and implications of Iran's actions

in the region; one should notice that notions like Deterrence and Destabilization are not fixed narrations and are subject to change and new readings⁸ [8]

Normally, deterrence means scaring off an opponent from doing something by making them think about what could happen in return. With Iran, that means using proxy groups to build up a system of control and fear along various points where the country may be vulnerable to attacks on its national interests abroad. Tehran does this by backing militias or other organizations in places like Lebanon (Hezbollah) or Iraq (various Shiite factions), hoping they will deter U.S.-Israeli aggression — or any other kind of hostility. What's more is that not only does such an approach solidify the geopolitical limits of Iran but it also increases their ability to negotiate internationally because they know people need them for energy resources.

On the other hand, **Destabilization** is the term used to describe acts that disrupt a region's political or social order, often resulting in anarchy and violence. Moreover, what Iran does can be seen as another form of destabilization; through supporting groups acting as its proxies with the intention of weakening governments which it considers rivals and extending influence through creating power vacuums. In Syria for example, without Iran's support, Assad would not have managed to remain in power thus giving them a base from where they can pursue their interests across the Levant – this country being very important as a conduit for Iranian aspirations within that region. Intervention like this only serves to heighten sectarian divisions, ignite civil wars and cause humanitarian disasters thereby furthering instability at a wider scale.

The interplay of Iran's proxy strategy between dissuasion and destabilization is not just theoretical; it is practical. Policymakers and analysts need to understand this complex situation, where on the one hand, they serve as deterrents against outside dangers yet on the other hand act as disruptors to existing world order. If we break down these words, we will be able to see more clearly why Iran does what it does and what such behavior may mean for regional safety or global diplomacy.

⁵ Momeni, A.P.R. and Dehnavi, P.S.A., 2022. Analyzing the Presence of NATO in the Middle East. RES MILITARIS, 12(3), pp.3294-3310.

⁶ Fiedler, R., & Dehnavi, E. A. (2024a). Navigating Engagement with Iran: Exploring US Strategies and Options: A Futuristic Scenario and Review. International Journal of English Literature and Social Sciences, 9(2), 109–113. <https://doi.org/10.22161/ijels.92.18>

⁷ Fiedler, R., & Dehnavi, E. A. (2024). Unraveling the Enigmas: Deciphering the Causes of Discord in the Middle East: A review. *Journal of Humanities and Education Development*, 6(1), 51–56. <https://doi.org/10.22161/jhed.6.1.7>

⁸ Dehnavi, E. A., & Fiedler, R. (2024d). Adventures of Two Captains' Trilogy and U.S Exceptionalism in their Foreign Policy: Manifestation of Think Tanks in a literary work. *International Journal of English Literature and Social Sciences*, 9(3), 277–281. <https://doi.org/10.22161/ijels.93.35>

III. HISTORICAL CONTEXT AND IRAN'S USE OF PROXIES

To understand Iran's contemporary proxy strategy, it is essential to delve into the historical context that has shaped its approach. The roots of Iran's use of proxy forces can be traced back to the aftermath of the 1979 Islamic Revolution, which not only transformed the political landscape of the country but also redefined its foreign policy objectives. The revolution forged a new ideological framework grounded in the concept of **Wilayat al-Faqih** (Guardianship of the Islamic Jurist), compelling Iran to support movements and groups that align with its revolutionary ethos across the Middle East.

During the 1980s, amidst the chaos of the Iran-Iraq War, Iran began to cultivate relationships with various non-state actors as a means of countering regional adversaries, particularly Iraq and its Western allies. This period marked the emergence of groups like Hezbollah in Lebanon, which Iran supported as a counterbalance to Israeli influence in the region. By empowering such proxies, Tehran was able to extend its reach, influence domestic and regional politics, and engage in asymmetric warfare without direct confrontation.

As the years progressed, Iran strategically leveraged these alliances to establish a network of proxies that spanned from the Levant to the Gulf. Groups like the Houthis in Yemen, various Shiite militias in Iraq, and the Palestinian factions in Gaza became instrumental in Iran's strategy of deterrence and retaliation against perceived threats from both regional rivals and global powers. This web of alliances has enabled Iran not only to project power but also to create a semblance of strategic depth, allowing for a multidimensional response to external pressures.

The historical context of Iran's proxy strategy reveals a calculated effort to utilize non-state actors as instruments of influence and deterrence, reinforcing its position in a volatile region. As we examine the complexities of this approach, it becomes evident that Iran's use of proxies is not merely a tactic of destabilization; rather, it is deeply rooted in a historical narrative of resistance, empowerment, and survival in a hostile geopolitical landscape. Understanding this historical backdrop is crucial to decoding the current dynamics of Iran's proxy strategy and its implications for regional stability.

3.1) Key Proxies: Who They Are and What They Do

Iran's proxy strategy is complex and multifaceted, involving a network of key players that serve its geopolitical interests across the Middle East and beyond. Understanding who these proxies are and what they do is crucial in deciphering Iran's broader strategy of deterrence and destabilization.

One of the most notable proxies is Hezbollah, the Lebanese militant group that has evolved into a powerful political and military force. Established in the early 1980s with Iranian support, Hezbollah operates under a dual mandate: to resist Israeli influence and to serve Iranian interests in the region. With a sophisticated military arsenal, including missiles capable of reaching deep into Israel, Hezbollah acts as Iran's frontline defense, deterring potential Israeli incursions while simultaneously projecting Iranian power within Lebanon and beyond.

In Syria, Iran has cultivated a diverse array of proxies, including various militias and groups that have fought alongside the Assad regime during the Syrian civil war. Groups such as the Fatemiyoun Brigade, composed mainly of Afghan fighters, and the Zainabiyoun Brigade, comprising Pakistani fighters, demonstrate Iran's commitment to utilizing foreign proxies to maintain its influence in Syria. These militias not only assist in bolstering the Assad regime but also serve as a means for Iran to extend its reach and establish a foothold near Israel's borders.

Further afield, in Iraq, Iran's influence is exerted through the Popular Mobilization Forces (PMF), a coalition of various militias formed to combat ISIS. While these groups played a crucial role in defeating the terrorist organization, they have also become vehicles for Iranian influence, with leaders often loyal to Tehran. The PMF's integration into the Iraqi state apparatus raises concerns about Iran's ability to sway Iraqi politics and military decisions in its favor.

In Yemen, the Houthi movement represents another significant proxy. Supported by Iran through weapons, training, and financial aid, the Houthis have engaged in a protracted conflict against a Saudi-led coalition. Their ability to launch strikes deep into Saudi territory underscores Iran's role in facilitating asymmetric warfare, allowing it to challenge Saudi Arabia without direct confrontation.

These proxies, each with their unique motivations and operational strategies, collectively form a critical component of Iran's broader geopolitical ambitions. By leveraging these groups, Iran not only deters adversaries but also sows instability in regions deemed vital to its strategic interests. As the dynamics in the Middle East continue to evolve, understanding the roles of these key proxies will be essential for comprehending Iran's ongoing quest for influence and the implications it holds for regional security.

Strategic Depth and Influence

Iranian-related proxies provide Tehran with strategic depth in several ways. They enable Iran to project power beyond its borders, influencing political and military developments in other countries. This is particularly evident in Lebanon,

where Hezbollah not only serves as a formidable military force but also plays a significant role in the country's politics. Through these proxies, Iran can exert pressure on regional adversaries, primarily Israel and Saudi Arabia, without engaging in direct confrontation. The strategic depth provided by these proxies is essential for Iran in maintaining its influence and deterring adversaries [9]

Asymmetric Warfare and Deterrence

The use of proxies is a key component of Iran's asymmetric warfare strategy. These groups can engage in guerrilla tactics, unconventional warfare, and acts of terrorism, which are cost-effective compared to traditional military engagements. They also complicate the security calculations of Iran's adversaries. For instance, Hezbollah's significant arsenal of rockets and missiles poses a continual threat to Israel, serving as a deterrent against potential Israeli aggression towards Iran. This approach allows Iran to extend its influence without the need for direct military intervention, thereby reducing the risks associated with conventional warfare [10]

Destabilizing Adversaries

Iranian proxies contribute to the destabilization of regional adversaries, which aligns with Iran's broader strategic objectives. In Yemen, the Houthis have been engaged in a prolonged conflict with the Saudi-led coalition, draining Saudi resources and attention. In Iraq, Shia militias have both fought against ISIS and exerted influence over the Iraqi government, often in ways that align with Iranian interests and counterbalance U.S. influence in the country. These actions serve to weaken Iran's adversaries while simultaneously strengthening its own position in the region [11]

Political Leverage and Governance

Beyond military capabilities, these proxies often engage in governance and provide social services, which helps them gain and maintain popular support. This dual role enhances their legitimacy and effectiveness as proxies. For example, Hezbollah operates extensive social services in Lebanon, including schools, hospitals, and welfare programs, which bolster its support base and political power. This integration into the social and political fabric makes it difficult for opposing forces to diminish their influence without causing significant disruption [12]

Regional Alliances and Counterbalances

Iran's use of proxies also plays into larger regional alliances and counterbalances. By supporting groups aligned with its interests, Iran can counterbalance the influence of other regional powers, especially Saudi Arabia and the United Arab Emirates. This creates a complex web of alliances and enmities, contributing to the broader instability in the Middle East but also ensuring that Iran remains a key player in regional politics. This strategy has been particularly evident in the context of the US-Iran proxy conflicts, where both nations have sought to expand their influence through indirect means [13]

Challenges and Risks

However, the reliance on proxies also comes with significant risks and challenges for Iran. These groups can have their own agendas and may not always act in ways that align with Iranian interests. Additionally, the activities of these proxies often invite international condemnation and can lead to sanctions and other punitive measures against Iran. Moreover, the proxy strategy can sometimes backfire, as seen with the backlash against Iranian influence in Iraq and Lebanon, where significant segments of the population have protested against perceived Iranian meddling [14] the radical activation of the proxies might also create bigger challenges and obstacles in the way of further negotiations between Iran and the United States ⁹[15]

IV. CONCLUSION

In conclusion, Iranian-related proxies play a critical role in the security plans of the Middle East by extending Iran's influence, providing strategic depth, engaging in asymmetric warfare, destabilizing adversaries, and offering political leverage. While this strategy has proven effective in many respects, it also brings significant risks and challenges, both for Iran and the broader region. The use of proxies will likely continue to be a central element of Iran's regional strategy, given its benefits in terms of power projection and deterrence; the effects of this proxy mechanism is not only limited to the Middle East region; the matter of proxies have been and might be highlighted in the strategic plans of the U.S presidents [16]¹⁰; however, we shall stay tuned for the future updates and changes; American election, emergence of AI in the military industries and so many other new phenomenon are crucial in conducting such studies[17] ¹¹

⁹ Dehnavi, E. A. (2020). Sorry, how can I get to Washington? ResearchGate.
https://www.researchgate.net/publication/381096520_Sorry_how_can_I_get_to_Washington

¹⁰ Aghili Dehnavi, E., & Alizadeh Jamal, M. (2020). From Containment to Americanism (1st ed., Vol. 1) [Soft Cover].

Tredition.
https://www.researchgate.net/publication/381002365_From_Containment_to_Americanism

¹¹ Dehnavi, E. A., Safavipour, A., & Rahiminejad, M. (2021). Computer science, artificial intelligence and their effect on international relations and political matters. Turkish Journal of

REFERENCES

- [1] Aghili Dehnavi, E., & Fiedler, R. (2024). The Styles in the American Politics Volume II, Conservative Think tanks and their Foreign Policy: A Booklet (1st ed., Vol. 2). Tredition. https://www.researchgate.net/publication/379449531_The_Styles_in_the_American_Politics_Volume_II_Conservative_Think_Tanks_and_Their_Foreign_Policy_A_Booklet
- [2] Dehnavi, E. A., & Adami, A. (2023, February 11). UAE foreign policy patterns after 2018 until now based on discourse analysis. <https://www.multiresearchjournal.com/arclist/list-2023.3.1/id-917>
- [3] Dehnavi, E.A. and Savojo, M., 2021. The Unification of the Phoenix and the Dragon: China, Iran, Middle East. tredition.
- [4] Dehnavi, E. A., & Nourmohammadi, M. (2023, February 5). Factors of the prevalence of authoritarianism and the push on democratization in the Middle East. <https://www.multiresearchjournal.com/arclist/list-2023.3.1/id-890>
- [5] Momeni, A.P.R. and Dehnavi, P.S.A., 2022. Analyzing the Presence of NATO in the Middle East. RES MILITARIS, 12(3), pp.3294-3310
- [6] Fiedler, R., & Dehnavi, E. A. (2024a). Navigating Engagement with Iran: Exploring US Strategies and Options: A Futuristic Scenario and Review. International Journal of English Literature and Social Sciences, 9(2), 109–113. <https://doi.org/10.22161/ijels.92.18>
- [7] Fiedler, R., & Dehnavi, E. A. (2024). Unraveling the Enigmas: Deciphering the Causes of Discord in the Middle East: A review. Journal of Humanities and Education Development, 6(1), 51–56. <https://doi.org/10.22161/jhed.6.1.7>
- [8] Dehnavi, E. A., & Fiedler, R. (2024d). Adventures of Two Captains' Trilogy and U.S Exceptionalism in their Foreign Policy: Manifestation of Think Tanks in a literary work. International Journal of English Literature and Social Sciences, 9(3), 277–281. <https://doi.org/10.22161/ijels.93.35>
- [9] Yüksel, E. (2020). Turkey's approach to proxy war in the Middle East and North Africa. Security and Defence Quarterly.
- [10] Jose, H. S., & Fathun, L. M. (2021). US – Iran Proxy War in Middle East Under Trump Administration. Journal of Political Issues.
- [11] Bahgat, G. (2007). Iran and the United States: The Emerging Security Paradigm in the Middle East. The US Army War College Quarterly: Parameters.
- [12] Jones, P. (2009). Structuring Middle East Security. Survival, 51, 105 - 122.
- [13] Sun, D. (2017). China and the Middle East security governance in the new era. Contemporary Arab Affairs, 10, 354-371.
- [14] Cannon, B. J., & Donelli, F. (2019). Asymmetric alliances and high polarity: evaluating regional security complexes in the Middle East and Horn of Africa. Third World Quarterly, 41, 505 - 524.
- [15] Dehnavi, E. A. (2020). Sorry, how can I get to Washington? ResearchGate. https://www.researchgate.net/publication/381096520_Sorry_how_can_I_get_to_Washington
- [16] Aghili Dehnavi, E., & Alizadeh Jamal, M. (2020). From Containment to Americanism (1st ed., Vol. 1) [Soft Cover]. Tredition. https://www.researchgate.net/publication/381002365_From_Containment_to_Americanism
- [17] Dehnavi, E. A., Safavipour, A., & Rahiminejad, M. (2021). Computer science, artificial intelligence and their effect on international relations and political matters. Turkish Journal of Computer and Mathematics Education (TURCOMAT), 12(1), 602-610.

Computer and Mathematics Education (TURCOMAT), 12(1), 602-610.

Research on Recontextualization Strategies in Translation of Quotations from Chinese Classics in The Governance of China from the Perspective of Skopos Theory

Wu Qiong

Yangtze University, China

Received: 19 Jul 2024; Received in revised form: 20 Aug 2024; Accepted: 26 Aug 2024

©2024 The Author(s). Published by TheShillonga. This is an open-access article under the CC BY license (<https://creativecommons.org/licenses/by/4.0/>)

Abstract

From the perspective of Skopos Theory, this study compares the English translation of quotations in The Governance of China with Xu Yuanchong's translation, and analyzes the recontextualization strategy adopted in the English translation of allusions in The Governance of China to adapt to the change of context. It has been found that when translating allusions in political texts, it is necessary to consider not only the historical context in which the allusions are produced, but also the contemporary context in which they are quoted. Under the fidelity rule, recontextualization should be carried out according to the speaker's purpose, and various recontextualization strategies such as domestication, foreignization, and explicitation should be appropriately adopted in order to achieve the translation purpose and be widely accepted by readers.

Keywords— English translation of quotations, Recontextualization, The Governance of China

I. INTRODUCTION

Quotations refer to stories or phrases from ancient books cited in poetry and literature (Modern Chinese Dictionary, 7th edition, 2018). The use of allusions is a rhetorical device that refers to the explicit or implicit use of ancient stories or phrases in one's own language works for a certain rhetorical purpose (Luo Jiyong, 2005). When rhetorical devices such as allusions are placed in a diplomatic context, they possess some characteristics of diplomatic language and are endowed with distinct features of the times, new political connotations, and policy significance. As an enrichment of General Secretary Xi's concept of governing the country, *The Governance of China* also quoted a lot of allusions. The translation of political texts is mainly aimed at conveying Chinese ideas and spreading Chinese culture to the world. The English translation of political texts and classics extends, shrinks,

migrates, and even subverts with changes in context. At present, the academic community has made many useful explorations and practices on the translation of *The Governance of China*. The existing research on the English translation of *The Governance of China* mainly focuses on specific words, poetry, rhetoric from the perspectives of corpus, cultural translation view, eco-translatology. Some scholars have considered the impact of the special political context in which allusions are located on their translation, but have not analyzed the contextual changes from the historical context to the contemporary context in which they are cited. Therefore, this study adopts the perspective of Skopos theory to analyze the recontextualization strategy adopted by the English translation of allusions in *The Governance of China* to adapt to the changing context.

II. SKOPOS THEORY AND CONTEXT

Functionalist Skopos Theory is a German functionalist translation theory that emerged in the 1970s and is still being revised and developed today. For functionalist translators, due to differences in cultural environment and language characteristics, the source language and target language are different. Translation is a series of social behavior under specific conditions, and it is not an action of word-to-word replacement, but a behavior meets specific communication needs (Nord, 1997). According to the skopos theory, translators can adjust the target language in order to achieve specific translation goals, but this does not mean that translators can arbitrarily delete or enlarge the content of the target language. Adjustments must comply with the rules of skopos, coherence, and fidelity.

The skopos in the Skopos rule mostly refers to the "communicative purpose". The translation purpose of the translator in the cultural context of the target language determines the translation methods and strategies they adopt. (Vermeer, 1989; Nord, 2001)

The coherence rule means that the translation must meet the criteria of intra-textual coherence, that is, the translation is readable and acceptable. The translation need produce meaning in the cultural environment of the target language, and can be understood by the target language readers. The target text must be internally coherent so that readers can understand it, and it must be meaningful in the target text in which it is used. The coherence principle requires that the translation must be intra-textual coherence

The fidelity rule refers to the fidelity of the target language text to the original text, in accordance with intertextual coherence. The coherence rule and fidelity rule are both subordinate to the principle of purpose.

Context was first proposed by Malinowski (1923), who believed that discourse and context are closely practiced together, and language environment is essential for understanding language. Firth (1950) inherited and developed his viewpoint, dividing context into linguistic context and situational context. Hu Zhuanglin (1998) divided context into three categories: contextual context, situational context, and cultural context. Contextual context refer to the linguistic components such as words, phrases, sentences, chapters, and passages that can influence and constrain interpretation in language activities. It about

understanding the dialogue, what does this sentence mean, and understanding a certain word. Situational context refers to the surrounding situation, nature of events, relationships between participants, time, place, and manner in which a text is produced. Cultural context refers to the history, culture, and customs of the language community where the speaker or author belongs.

The English translation of the quotations in *The Governance of China* involves changes in historical context to contemporary context. House (2006) defined "recontextualization" as the process of extracting text from the source context and placing it in the expectation of new relationships and cultural conditions. He believed that translation is a form of recontextualization, as the source text and the translated text involve different contexts. Therefore, recontextualization is necessary during translation. The translation of *The Governance of China* is mainly aimed at conveying Chinese ideas and spreading Chinese culture to the world. The purpose of translating its allusions into English is different from literary translation. The context and meaning of the source text may change accordingly, and may extend, shrink, transfer, or even subvert with the change of context. Therefore, in order to achieve translation goals, the English translation of allusions requires the use of recontextualization strategies.

This article analyzes the historical context, contemporary citation context, and translation context of allusions, and then analyzes the contextualization strategies adopted by translators to adapt to these contextual changes and achieve translation goals from the perspective of the three rules of skopos theory.

III. CONTEXTUAL ANALYSIS

According to the definition of allusions in Cihai, "ancient stories and words with historical origins quoted in poetry and literature", volumes one to four of *The Governance of China* have identified 342 allusions. The quantities of volumes one to four are 112, 99, 64, and 67, accounting for 33%, 29%, 18%, and 20% respectively.

These allusions mostly come from ancient classics, such as, "The Analects" , "Mencius", "Lao Zi", "Xun Zi", as well as poetry and some ancient articles and novels, which are from multiple dynasties such as the Spring and Autumn Period, Warring States Period, and modern times. Most of

these allusions are from the feudal dynasties and monarchic periods of ancient Chinese society. It involves the relationship of teachers and students, the monarch and the people, the monarch and his subordinates, and covers many aspects of wisdom, such as natural philosophy, life principles, moral cultivation, governance and administration. It is the representative of the excellent traditional culture of the Chinese nation and still has a significant impact on the thinking of the Chinese people today.

From November 2012 to May 2022, the General Secretary Xi Jinping cited these quotations in numerous meetings and important speeches, involving multiple themes such as self-cultivation, faith, clean governance, rule of law, governance, and diplomacy. Most of them were warnings and advice to cadres and the people, and were vivid interpretations of the socialist ideology with Chinese characteristics in the era. Nowadays, China, which is rapidly developing, hopes to engage in timely and effective communication and dialogue with countries around the world, and is actively building a new type of external discourse system. Translation plays an important role in constructing the external discourse system. The translation of *The Governance of China* was carried out in the context of that era. More than 20 translators from subordinate units of the new Foreign Languages Bureau participated in the translation work, combined with foreign editing experts who understand the culture and language habits of English-speaking countries. Based on the fidelity rule, the translation was carried out.

IV. CASE STUDY

This paper makes a comparative study of the English versions of several quoted quotations from volumes 1-4 of *The Governance of China* and Xu Yuanchong's English version, and explores the recontextualization strategies adopted by the translator

(1) Skopos Rule

Example 1 “生年不满百，常怀千岁忧”

This sentence can be found in the 15th poem of the "Nineteen Ancient Poems" titled "Born Less than a Hundred Years Old". This poem originated on the era of the collapse of the Eastern Han Dynasty, when political corruption and decadence had reached their peak. Intellectuals had fallen

into a deep valley of decadence and sentimentality due to the disillusionment of their life ideals. In order to relieve their depression, they reflect on their values and ultimate destination in life. The meaning of this poem is that life is short, only a hundred years, but it often brings its own troubles and worries about things that are out of reach all day long- The main theme conveyed by the original sentence of the poem is "enjoy the moment", advocating not to worry excessively.

The translation of Xu Yuanchong is:

Few live as long as a hundred years.

Why grieve over a thousand in tears!

Xu Yuanchong believes that translating poetry is an art of seeking beauty, and regards spreading China's beauty to the world as his own responsibility and the highest joy (Li Zhengshuan, 2024). Therefore, Xu, with the aim of spreading traditional Chinese culture while balancing the pursuit of truth and beauty, faithfully conveyed the original text and adopted an explicit translation strategy. He remained faithful to the source text in both form and content, using the word “few” to express the negative meaning and the word “why” to lead exclamation sentences to express that there was no need to worry about things a hundred years later in the original poem. Besides, using the word “tears” at the end of the sentence to convey the image of worry, and using the rhyme “year” and “tea” to achieve rhythmic beauty, making the poem more catchy to read.

The translation of this sentence in *The Governance of China* is:

We worry about the next one thousand years when we are only to last less than a hundred.

This sentence was quoted by Xi in his speech at the Second Plenary Session of the 19th Central Commission for Discipline Inspection of the Communist Party of China. It emphasizes party discipline. The language is a warning from superiors to subordinates, warning members of party organizations at all levels to uphold their ideals and beliefs and adhere to the education of ideals and beliefs in order to achieve communism. Therefore, in the contemporary context, this sentence conveys a sense of crisis and a lofty goal in mind, requiring rulers to think of lofty goals even though in the primary stage of socialism and working on the cause of socialism with Chinese characteristics. At the same time, this sense of crisis has existed since ancient times, thus

inheriting the long-standing Chinese culture and inspiring the present and future.

The purpose of the English translation of *The Governance of China* can be roughly summed up in three points: first, faithfully convey the governance strategy of the Chinese party; Secondly, constructing and innovating a system of external political discourse; Thirdly, enabling people from English-speaking countries to better understand China through translations and promoting communication and cooperation between China and the world (Zhao Xiangyun, 2017). Therefore, the purpose of this sentence is to convey the sense of crisis emphasized by General Secretary Xi. Based on functionalism, the purpose of translation requires a change in the function of the source text. Besides, the standard for translation is no longer coherence between the source text and the language, but rather coherence with the translation purpose (Nord, 2001). Therefore, the translation clarified the meaning of the source text and then reconstructed the context according to the purpose, conveying the speaker's true intention, following the purpose of translation, expressing the efforts to prevent and resolve various risks, and highlighting a strong sense of crisis and risk awareness. This sentence adopts the domestication strategy, without translating according to the format of the original poem. It focuses on conveying the meaning and uses the word "when" to highlight the comparison between a hundred and a thousand years, and the efforts made by the Party to achieve its great mission. Omitting "years" at the end of the sentence to avoid repetition is in line with the conventions of the target language.

Example 2. 见善如不及，见不善如探汤

This sentence is found in the *Analects of Confucius: Ji Shi*, and means that when one sees good deeds, they are afraid that they will not achieve them. Seeing bad behavior is like reaching into boiling water and quickly avoiding it. Soup, in ancient times, referred to hot water. Confucius used the phrase "probing soup" to illustrate the attitude a person should take hands back when seeing something bad. This sentence is often used in later generations to warn politicians to constantly cultivate the virtue of governance, to constantly contemplate the harm of greed, and to always have a sense of awe.

Xu Yuanchong's translation in *The Analects* is:

I have heard, said Confucius, of those who would lose no time to do what is good when they see it, and to shrink from what is harmful as from boiling water, and I have seen such men.

For the purpose of conveying Confucianism, Xu Yuanchong mainly adopts a literal translation strategy to faithfully convey the meaning of the source text. At the same time, he integrates the last two sentences for translation, pointing out the speaker Confucius. Added "lose no time" to enhance the tone and advise to learn to do good deeds.

The translation in *The Governance of China* is:

Contemplating good and pursuing it, as if you could not reach it; contemplating evil, and shrinking from it, as you would from thrusting a hand into boiling water.

This sentence was quoted in the speech at the Third Plenary Session of the 18th Central Commission for Discipline Inspection, with the theme of strict governance of the Party, which is a warning from leaders to cadres. This translation adopts an explicitation recontextualization strategy to convey the tone and intonation of the original author. Many of General Secretary's speeches are aimed at cadres and the masses. In translation, it is important to avoid using written language to translate the speeches into articles. (Wang Mingjie, 2020) This translation uses the second person "You" to refer to the officials who received this information, reflecting the Xi's warning to the officials. One of the most important translation purposes is to convey the governing strategies of the Chinese Party and state leaders to foreign countries, as this translation allows foreign readers to directly experience the ideology of the Chinese Party's leadership. The two sentences before and after the translation are symmetrical in structure, the same as the form of the source text. While receiving the meaning, the reader can feel the traditional Chinese culture and ideology.

(2) Coherence rule.

Example 3. 举直错诸枉，则民服；举枉错诸直，则民不服

This sentence comes from *The Analects of Confucius: Governance*. Confucius believed that if a leader can use people with virtue and talent, then his subordinates will be convinced. On the contrary, if those who lack virtue and ability becomes politicians, their subordinates will naturally

be dissatisfied. In his later years, Confucius returned to the state of Lu, and the emperor Ai of Lu often sought advice from Confucius. Although he was the ruler of the state of Lu, the power of the country was in the hands of the "Three Barbarians". There were three sycophants around Duke Ai of Lu who formed factions for personal gain, deceived the monarch, and obstructed scholars from neighboring vassal states from coming to Lu, causing unrest in the country. In response to this situation, Confucius advised Duke Ai of Lu to select capable individuals. Confucius used the phrase "upright" to replace "unjust" to illustrate the importance of appointing upright and wise individuals. This sentence is a dialogue between Confucius and the ruler of the state of Lu, which belongs to admonition. The purpose is to advise the ruler to mainly know how to make good use of people and select capable individuals.

Xu Yuanchong's translation in *The Analects* is:

If honest men are employed and dishonest ones discarded, then people will support you. If dishonest men replace the honest, you will lose the support of the people.

Xu Yuanchong insists on unifying "seeking truth" and "seeking beauty", advocating that beauty should come first when the contradictions between the two are irreconcilable. The structure of this translation is consistent with the original text, using two conditional sentences guided by "if" to express the symmetry of the source text, and using the antonyms of "honest" and "dishonest" to symmetry the falsehood and straightness of the original text, achieving formal beauty. Xu Yuanchong used special projection when translating the *Analects*, with the aim of enabling readers in modern cultural contexts to receive Confucius's ideas in more literary discourse, avoiding the hindrance of readers' reading interest due to the dry and monotonous projection language structure, and making readers pay more attention to Confucius's thoughts. The word "fu" in the source text should have meant obedience in ancient contexts, but Xu Yuanchong chose the word "support", which emphasizes the equal relationship between rulers and the people, which is more easily accepted by Western readers. Simultaneously using passive sentence structures to express the relationship between subject and predicate is in line with the habits of the target language.

The translation in *The Governance of China* is:

People will obey you if you promote righteous men

and suppress evil men. And they will disobey you if you do the contrary.

This sentence was quoted by General Secretary Xi Jinping in his speech at the Second Plenary Session of the Fourth Plenary Session of the 18th Central Committee of the Communist Party of China. It was used in a serious internal party meeting with the theme of judicial justice, and is a warning from leaders to lower level cadres. The important content of Confucianism is to uphold the principles of justice and uphold the principles of fairness and impartiality. Only by becoming the guardian of justice can the judiciary gain legitimacy and credibility. Xi Jinping took this opportunity to highlight the importance of "fair justice". Judicial personnel should be upright and courageous, dare to eliminate interference from both internal and external sources of the judicial organs in accordance with the law, and adhere to the bottom line of fair justice.

This translation method adopts the explicitation recontextualization strategy, which is more in line with the characteristics of political texts, concise, avoids repetition, and reduces reading barriers for readers. When translating, the active sentence structure is used to emphasize the determination and efforts of our party to promote judicial reform. The word "obey" is used to translate the original text, emphasizing the recognition and obedience of the people to the judicial organs in judicial practice. Both "unjust" and "upright" are translated as "Righteous" and "evil" according to the judicial context, corresponding to two types of people: those who abide by the law with integrity and those who commit evil and violate the law, making it easier for readers to understand the meaning expressed in the source text.

(3) Fidelity Rule

Example 4. 君子之德风，小人之德草，草上之风必偃

This sentence comes from *the Analects of Confucius, Ji Shi*. During the Spring and Autumn Period, Ji Kangzi, a powerful minister of the State of Lu, sought advice from Confucius on how to govern political affairs. Confucius replied, "What if you kill the unrighteous to fulfill the righteous?" Confucius replied, "Why do you need to resort to killing when governing political affairs? As long as you want to do good deeds, the people will naturally follow suit." He used the analogy of "the moral style of a gentleman,

the moral style of a petty person, and the wind on the grass will surely dissipate. This gave rise to the idiom "The grass withers and the wind follows", which metaphorically refers to those who can use virtue to transform the people, and then the people will turn towards it. It is like the wind blowing the grass, leading the way to goodness. At this time, the imperial court of the State of Lu was in decline, and the head of the Ji Kangzi, held a high position of power and authority, He was a powerful minister of the State of Lu at that time. Confucius wanted to influence Ji Kangzi with the concept of "benevolent governance", so this sentence also belonged to the dialogue between the monarch and the minister. The purpose of the minister's admonition to those in power was to hope that Ji Kangzi would implement benevolent governance.

The translation in Xu Yuanchong's *Analects* is:

The relation between the ruler and the ruled is like that between the wind and the grass. When the wind blows, the grass will bend down."

Xu Yuanchong uses the antonyms "ruler" and "ruled" to translate "gentleman" and "villain". According to historical context, "gentlemen" refers to those in power such as Ji Zikang, so gentleman is translated as ruler, while refers to the people under his rule, expressed as ruled. The latter half of the sentence is translated using a literal translation method, allowing foreign readers to also obtain relevant images.

The translation in *The Governance of China* is:

The rulers' virtue is like wind, and commoners' virtue like grass, which always bends in the direction of the wind.

General Secretary Xi quoted in the chapter "Continuously Promoting the Whole Party". It is not as effective to demand people from above or push them from behind as to lead them in front. Never forget the original intention and keep in mind the mission. Leading organs and cadres must set an example and take the lead. This translation adopts a strategy of foreignization/recontextualization strategy. The structure is closer to that of original text. When translating "gentleman" historical context is also referenced, but "villain" takes into account the changes in contemporary context. Leaders and the people are no longer in a relationship of ruling and being ruled, but an equal relationship. "commoner" in the Oxford

Dictionary refers to people who enjoy common ownership, so this translation is accurate and in line with contemporary social and political reality. "Yan" means to fall, and here "bend in the direction" is used to translate, indicating that the people will follow the leader's words and actions.

V. CONCLUSION

The Governance of China covers all aspects of socialism with Chinese characteristics. It is the overview and concentration of General Secretary Xi's views of governance. Therefore, its English translation is of great significance for conveying Chinese ideas, conveying Chinese voices and building a Chinese discourse system. The great success of the English translation has also given us many inspirations. When translating quotations in political texts, it is necessary to consider not only the historical context in which they are produced, but also the contemporary context in which they are quoted. Recontextualization should be carried out according to the speaker's use of quotations, and various recontextualization strategies such as domestication, foreignization, and explicitation should be appropriately adopted to achieve the translation purpose and be widely accepted by readers.

REFERENCES

- [1] Firth J R. Personality and language in society[J]. The sociological review, 1950, 42(1): 37-52.
- [2] Halliday M A K, Hasan R. Cohesion in english[M]. Routledge, 2014.
- [3] House J. Text and context in translation[J]. Journal of pragmatics, 2006, 38(3): 338-358.
- [4] Malinowski B. The Problem of Meaning in Primitive Languages, 1923[J]. The Routledge Language and Cultural Theory Reader, 2000: 386.
- [5] Munday J, Pinto S R, Blakesley J. Introducing translation studies: Theories and applications[M]. Routledge, 2022.
- [6] Nord C. Skopos, loyalty, and translational conventions[J]. Target. International Journal of Translation Studies, 1991, 3(1): 91-109.
- [7] Nord, C. (1997). Translating as a Purposeful Activity: Functionalist Approaches Explained (1st ed.). Routledge. <https://doi.org/10.4324/9781315760506>
- [8] Nord C. Loyalty revisited: Bible translation as a case in point[J]. The translator, 2001, 7(2): 185-202

- [9] Nord C. Translating as a text-production activity[C]//On-Line Symposium on Innovation in Translator and Interpreter Training. 1999.
- [10] Vermeer H J. Starting to unask what translatology is about[J]. Target. International Journal of Translation Studies, 1998, 10(1): 41-68.
- [11] Vermeer H J. Ein Rahmen für eine allgemeine Translationstheorie[J]. 1978.
- [12] Vermeer H J, Chesterman A. Skopos and commission in translational action[M]//The translation studies reader. Routledge, 2021: 219-230.
- [13] 卞建华. 传承与超越: 功能主义翻译目的论研究[M]. 北京: 中国社会科学出版社, 2008.
- [14] 胡壮麟. 语篇的衔接和连贯 [M]. 上海: 上海外语教育出版社, 1998.
- [15] 高登亮, 钟焜茂, 詹仁美. 语境学概论 [M]. 北京: 中国电力出版社, 2006.
- [16] 罗积勇. 典故的典面研究[J]. 湖北师范学院学报(哲学社会科学版), 2005(04): 34-37+62.
- [17] 胡红辉. 系统功能视域下许渊冲《论语》英译投射语言研究[J]. 语言与翻译, 2024(01): 43-49.
- [18] 孔子. 论语: 汉英对照[M]. 许渊冲, 译. 北京: 海豚出版社, 2013.
- [19] 李正栓, 吕欣. 许渊冲英译毛泽东诗词译者行为研究[J]. 上海翻译, 2024(02): 55-60+95.
- [20] 王明杰. 高标准翻译出版领导人著作——以英文版《习近平谈治国理政》为例[J]. 中国翻译, 2020, 41(01): 36-41.
- [21] 赵祥云. 新形势下的中央文献翻译策略研究——以《习近平谈治国理政》英译为例[J]. 西安外国语大学学报, 2017, 25(03): 89-93. DOI: 10.16362/j.cnki.cn61-1457/h.2017.03.017.

A Corpus-based Teaching Design of Junior High School English Reading from the Perspective of Schema Theory

Na Luo

Received: 22 Jul 2024; Received in revised form: 25 Aug 2024; Accepted: 31 Aug 2024

©2024 The Author(s). Published by TheShillonga. This is an open-access article under the CC BY license

(<https://creativecommons.org/licenses/by/4.0/>)

Abstract

*This paper takes the reading text *The Night The Earth Didn't Sleep* in Unit 4 of English for senior high School published by People's Education Press as an example to probe into the concrete process of designing English reading teaching activities assisted by corpus in senior high school under the guidance of schema theory. Through the word frequency list extracted from corpus, students are guided to predict the main topic of the text, so as to realize the lead-in of reading text, and trained to predict and to grasp the main facts, further to explore the content of articles and paragraphs through keyword list and concordance line, so as to map the text structure, which may contribute to students' reading skills of skimming and grasping key information; Finally, the corpus-based approach can also be used in the teaching of vocabulary and grammar at the linguistic level after acquiring the structure and content of the text at a macro level.*

Keywords— *Corpus-based, English Reading, Teaching design, Schema Theory*

I. INTRODUCTION

Reading teaching is one of the major parts of English teaching. The English Curriculum Standard for Senior High Schools (2017 Edition, 2020 Revision) makes clear requirements for students' English reading ability: in the reading comprehension of English essays, they should have a complete understanding of the main theme and essence of the article, they also can infer the meaning of strange words in the passage by combining the information from the upper and lower parts of the article. Furthermore, students should sort out the basic structure of the article, analyze the purpose and attitudes of authors and internalize the cultivation viewpoints conveyed by texts through reading (Ministry of Education of the People's Republic of China, 2020). However, the conventional teaching strategies that place an emphasis on the transmission of language knowledge, such as words and sentences, continue to be prevalent in actual high school English reading education. Students passively memorize words and analyze sentence structures, and students' low efficiency in acquiring information, coupled

with the lack of relevant vocabulary and background knowledge, reading remains a difficult problem for many students. Although teachers fulfill their teaching tasks, it is difficult to improve students' output ability in the long run. Research and exploration on how to improve the teaching of English reading in high school has been widely concerned by academics. What's more, in order to realize the above requirements, teachers have begun to explore the integration and innovation of information technology and classroom teaching in practical teaching, and try to use corpus technology to design English reading classroom teaching (Liaw & English, 2017). Moreover, schema theory, one of the supporting theories for reading teaching, can be skillfully integrated with corpus idea to construct a new English reading teaching model.

Rumelhart (1980) classifies schema into three types: linguistic schemata, content schema and formal schema (also called structure schema), which are cross-referenced and interact with the language, content and form of the reading material to determine the reader's understanding of

the reading material. Sun (2003) also points out that schema theory holds that learners' reading ability is determined by three schemas: she further explains that linguistic schema means to knowledge about vocabulary, idioms, syntax and grammar of the text; content schema refers to familiarity with the content related to the topic of the text or past experience and background knowledge about the content of the text; Structure schema refers to the knowledge of text types and organizational structure differences. Three schemata are closely related to reading comprehension. Constructing these three schemas in the process of reading will help students understand reading materials from multiple dimensions, thus improving the comprehensive effect of reading. Schema construction is a process of continuous analysis and synthesis under repeated contact with similar contexts. Corpus can deconstruct texts by virtue of its unique ideas and unique tools, and construct certain discourse schemas in learners' brains, which ultimately help learners achieve the purpose of reading texts (Rasakumaran & Patrick, 2019; Xu & He, 2004). Specially speaking, Corpus method helps learners construct the structure schema of a text by means of word frequency list and keyword list, so that learners can understand the logical relationship between the theme and paragraphs of the text; meanwhile, the co-occurrence function of index lines and keyword context can help learners explore the details of the text, correctly judge the theme, reasonably infer the implied meaning, and thus construct the content schema of the text, which are consistent with each other in this perspective .

In short, schema theory can be effectively combined with corpus technology, providing new ideas for reading teaching. Therefore, under the guidance of schema theory, this paper takes the reading text *The Night The Earth Didn't Sleep* in Unit4 as an example to explore the reading teaching procedures assisted by corpus, and tries to focus on the theme of the discourse from the high-frequency words and keywords of the text. At the same time, with the help of the characteristics of corpus context co-occurrence, reading activities are designed to guide students to grasp the main idea, topic connotation, chapter structure and stylistic features of the article, vocabulary knowledge and grammatical structure layer by layer through observation, sorting, generalization, judgment and guessing, so as to promote their comprehensive reading literacy.

II. RESEARCH REVIEW

On the one hand, the research about schema-based English reading teaching has never faded from scholars' attention. Al-Issa (2006) suggested that readers' language competence is not only based on the activation of language knowledge, but also on the degree of activation in knowledge processing. That's to say, Teachers are supposed to activate students' relevant schemas by kinds of reading activity in class. Then Ajideh (2006) proposed a schema-based pre-reading task for one of ESP textbooks to help students activate their background knowledge. He also said teachers should highlight those elements closely related to the topic of the theme in order to accelerate students to activate relevant schemas. Gu (2013), from the perspective of students' cognitive psychology, also points out that effective activation of schemas in pre-reading activities can meet students' cognitive needs in the reading process, lay a foundation for subsequent reading, and help students comprehensively apply what they have learned and personal experience in understanding and internalizing text information. After the empirical research on 63 English learners, Hassan et al. (2013) equally improved that activation of schemas and background knowledge can improve English learners' reading comprehension, and interactive reading method based on schema theory can help readers better understand texts. Zheng et al. (2017) further verified the effect of schema activation on reading comprehension in empirical research, and the experimental results confirmed that schema activation is a key link in reading comprehension. All the research above demonstrated that the application of Schema in do help students enhance their reading comprehension, and in return the schema itself can be fed back while students' learning and teachers' teaching. So, applying schema theory to every link of reading teaching can optimize reading teaching mode and improve reading teaching quality.

On the other hand, Corpus is a collection of scientifically collected language samples, which can help users analyze and study the characteristics of language and the rules of its use. In the teaching field, the exploration of corpus-assisted English reading teaching is gradually attracting academic attentions, and many researchers and front-line teachers have carried out practical research on the integration of corpus and reading teaching. Wang (2013)

investigated and analyzed five corpus-based teaching activities: how to understand the main content of the text, to extract the main line of the story, to clarify the reference relationship, to repeat the text, and to make reasonable guesses according to the context, and provide detailed teaching cases one by one in his paper.

Erickson & Thiessen (2015) also believed that those teaching cases deserve to be carried out because they pointed out that the language input provided by real corpus can promote students to change different reading strategies according to different text contents and master knowledge points in the exploration of language rules independently. In addition, it can also improve students' self-feedback ability and enhance students' sense of achievement and self-confidence. Wang (2014) analyzes the how corpus-based vocabulary teaching model on word chunks and collocations in bottom-up reading processing and on text keywords in top-down reading processing work and indicates that corpus-assisted reading teaching model benefits students in expanding students' linguistic schema, content schema and structure schema. Xu & He (2016) discussed the corpus-assisted English intensive reading teaching mode, trying to start with the key words of the text, focusing on the core problems of the text, and at the same time displaying various co-selection situations of text words from bottom to top by means of corpus, designing reading tasks, guiding students to grasp the theme, sub-topic connotation, text structure and even writing style of the article through observation, sorting, generalization and judgment, so as to improve students' reading literacy. Furthermore, He, Liang & Tang (2017) concretely illustrate the application of keyword lists, word frequency lists and clusters frequency lists in corpus-assisted reading teaching with specific examples, proving that keyword lists can highlight the characteristics of words used in articles and the main idea of articles, for example, grammatical words can often reveal the style of texts; word frequency lists can reflect the word quantity, frequency, various forms of words and the difficulty of texts; and by extracting and observing the high frequency clusters from the cluster frequency list, it can be found out that the usage of high frequency clusters will reveal the general idea or style characteristics of the text. Ma & Zhang (2019) directly showed that corpus provides students with the possibility of using authentic language,

and that teachers can reduce the differences between the language taught in reading class and the language used by native speakers in practice by introducing corpus-based language research methods into English teaching.

As mentioned above, the process of reading is the process of schema activation and construction; and with the help of visualized corpus, students can stimulate and existing schema in their brains through induction and generalization, making autonomic connections between the reading text and their internalized knowledge, which can further students' autonomic learning and exploring. That's why Schema theory supports the application of corpus in English reading teaching theoretically. So, under the guidance of schema theory, how teachers build the efficient English reading teaching model by means of corpus technology has been widely concerned, and the above related research results have laid a theoretical foundation and valuable experience for the teaching design of this paper. Therefore, this paper will start with the self-built corpus and its application in reading teaching to introduce the concrete operation of constructing the reading teaching mode from the perspective of schema theory.

III. CORPUS-BASED READING TEACHING DESIGN

Based on the corpus-driven teaching model, this part uses information technology tools such as corpus to develop reading teaching design under the guidance of schema theory.

3.1 Teaching Content

The teaching content is selected from the reading texts-*The Night The Earth Didn't Sleep* of Unit4 in the first compulsory volume of English (2019) published by the People's Education Edition. This article is a narrative of news reporting, using a lot of detailed information, vividly reproduces the scene of Tangshan earthquake in 1976--the omen before the earthquake, the losses caused by the earthquake and the disaster relief after the earthquake, expressing the horror of natural disasters and the sympathy of the author for the people in the disaster areas, and finally sublimates the theme, transmitting the warmth of "disaster is merciless, while our people are full of love".

3.2 Teaching Aims

(1) In structure, students can understand the theme and

logical relationship between paragraphs from the word frequency list and keyword list presented in the corpus, and construct the organizational structure of the text.

(2) In content, students can learn about the Tangshan earthquake: some abnormal phenomena before the earthquake, the devastating damage after the earthquake, the subsequent national rescue from the military and civilian, and how to solve the contradiction between building dams and protecting cultural relics.

(3) In language, students can learn and comprehend the words, expressions and grammar point presented in the text.

3.3 Teaching Procedure

The corpus-based reading teaching activity proposed in this paper is divided into three steps: The first step is to prepare lessons before class. Teachers should create relevant teaching corpus, and then design related questions according to the text content and reading purpose. The second step is to present the text in class. Teachers begin with using the concordance line, word frequency list and keyword list to guide students to conduct discourse analysis, such as using high-frequency words and keywords extracted by corpus to let them imagine the theme and content that the article may elaborate; then, teachers make use of the co-occurrence characteristics of corpus to present the context guiding students to further explore the details of the text, locate key information, and then map the structure of the article. Finally, at the language level of reading teaching, teachers would carry out the contextual word guessing and collocation teaching, grammatical structure teaching, and some useful expressions teaching. The last step is to conclude the text, review the whole class, and assign homework for students.

(1) Preparation before class

1. The Night The Earth Didn't Sleep reading discourse is organized into text files, saved and named The Night.txt; and e_lemma.txt is prepared for identify all the forms of a lemma word and stop_word.txt will be used to exclude those function words in the text. Then, select the textbook corpora of English compulsory 1 to 3 of PEP as the reference corpus, which are much larger than the target corpus.

2. The classroom computer is turned on to run AntConc 3.5.9 software and the COCA Corpus website is visited to extract word frequency lists and keyword lists in class and

to view specific concordance information.

(2) Presentation in class

1. Lead-in of the reading text

AntConc 3.5.9 is used to generate a word frequency list (see Table 1) after importing The Night.txt and e_lemma.txt. The result shows that there are 545 words in this text. Among them, most of the words with the highest frequency are function words such as articles, conjunctions, prepositions and pronouns. If Teachers want to guide students to learn more accurate information, stop_word.txt can be imported in and ran to get high-frequency content words (see Table 2): city (11), people (9), Tangshan (6), water (5), begin (began3; begun1), quake (quake3; quakes1), buildings (3), ruins (3), earthquake (earthquake1; earthquakes1), destroyed (2), injured (2) etc... Thereout, the teacher can lead the students to discuss to infer that the main topic of this reading article is the earthquake in Tangshan City. And then the teacher can ask the students to predict what things the article will talk about, what people there are, and when it will happen. The above-mentioned method of guessing the general idea of the text by using the words with high frequency enables students to obtain the background of the text content, construct part of the content schema of the reading text, lay a foundation for subsequent reading, train students' predictive reading skills, meanwhile, stimulate students' strong desire for knowledge.

2. Teaching for Structure and Content Comprehension of Reading Texts

After predicting the main topic of the text, teacher need to verify the story development and details by running AntConc's Keyword List to generate a keyword list (see Figure 1) and looking at the keyword line. Through the observation and analysis of the keyword list, the students' reading skills of skimming, searching and grasping key details will be also trained in the process of continuous discovery, retrieval and verification.

First of all, the teacher asks the students to pay attention to the title of the article-The Night The Earth Didn't Sleep, further learning that the earthquake happened at night. Then, let students observe and analyze the keyword list and found that the keyword list shows the general idea of the article more clearly than the word frequency list. It could guide the students to find that the first 20 words in the word frequency list were fewer content words, and the first

20 words in the keyword list are more content words, such as city, Tangshan, quake, people, water, chicken, pig, feel, dead, etc., which shows that the reading text would talk about the people and some animals in the Tangshan earthquake. Words like dead, ruins, began, survivors, etc. could show that the topic might revolve around the damage caused by the earthquake and what happened to the survivors. By this way, students' reasoning and analytical

skills could be developed naturally. It could also allow students to roughly grasp the main idea and tone of the article through the title and keywords before reading the article. And during this period, teacher could try to guide the students to predict the story, and then verify whether their description of the main story is correct by reading each paragraph of the article.

Table 1. Word Frequency List for The Night (Rank 25)

Rank	Frequency	Word
1	38	the (the 38)
2	28	of (of 28)
3	27	be (been 1; m 2; was 5; were 19)
4	23	and (and 23)
5	17	to (to 17)
6	12	in (in 12)
7	11	city (city 11)
8	9	a (a 8; an 1)
9	9	people (people 9)

Table 2. Content Word Frequency List for The Night (Rank 25)

Rank	Frequency	Word
1	11	city (city 11)
2	9	people (people 9)
3	6	tangshan (tangshan 6)
4	5	water (water 5)
5	4	begin (began 3 ; begun 1)
6	4	quake (quake 3; quakes 1)
7	4	thousand (thousand 4)
8	3	building (building 3)
9	3	dead (dead 3)

Rank	Freq	Keyness	Effect	Keyword
1	11	+ 53.48	0.0529	city
2	6	+ 49.09	0.038	tangshan
3	4	+ 23.92	0.0245	thousands
4	5	+ 23.08	0.0278	water
5	3	+ 21.88	0.0192	kilometres
6	3	+ 19.58	0.019	quake
7	3	+ 19.12	0.0189	ruins
8	3	+ 18.7	0.0189	fell
9	3	+ 17.59	0.0187	dead
10	9	+ 17.57	0.0244	people
11	2	+ 17.16	0.0131	chickens
12	2	+ 17.16	0.0131	rose
13	2	+ 15.98	0.013	pigs
14	2	+ 15.08	0.013	wells
15	3	+ 13.79	0.0178	began
16	2	+ 13.74	0.0129	survivors

Fig.1. Keywords List Surface in Antconc for The Night

Then, the teacher uses the Antconc to generate the word frequency list of each paragraph to guide the students

around the six elements of the narrative (Time, place, people, reason, course and result). For the words related to the six elements, further observe the specific context to judge the general meaning and specific details of the paragraph. Finally, map the whole content and structure of this text according to the general meaning and story of the five paragraphs: the first paragraph talks about the signs before the earthquake, the second paragraph talks about the terrible scene when the earthquake occurred, the third paragraph talks about the tragic city after the earthquake, the fourth paragraph talks about the recovery of the city with the help of rescue workers and soldiers, and the fifth paragraph talks about the rise of the city due to the support of the government and the efforts of the people in Tangshan. Therefore, the students can know that the reading text is based on the sequence of events, presenting the experience of the city from a third-party perspective from before the

earthquake to after the earthquake.

The first paragraph was used as an example to show the detailed teaching design of this part. At first, from the first sentence of the first paragraph, "Strange things were happening in the countryside of northeastern Hebei." It can be concluded that the earthquake occurred in a village in the northwest of Hebei Province, accompanied by some strange things. So, the teacher would search the content words in the first paragraph through the word frequency list (see Table 3). After observing the specific context, Students can find that the strange things refer to the water rising and falling in the well, the cracks in the wall, the chickens and pigs are too anxious to eat, the dogs do not go home, the rats run around, the fish jump out of the water, the lightning appears in the sky, and there is a loud noise while people are still sleeping without knowing anything (see Table 4).

Table 3. Word Frequency List for Paragraph 1(part)

Rank	Frequency	Word
1	2	city (city 2)
2	2	fell (fell 2)
3	2	rose (rose 2)
4	2	water (water 2)
5	2	well (well 2)
6	1	chicken (chicken 1)
7	1	run (ran 1)
8	1	refuse (refused 1)
9	1	mouse (mice 1)

Table 4. Keywords in Context for Paragraph 1 (part)

Number	word	Keywords in Context
1	water	1、 ... to hide, and fish jumped out of the water . At a
2	well	1、 ... appeared in the well walls. At least one well ha
3	chickens	... had some smelly gas coming out of it. Chickens and
4	dogs	... even pigs were too nervous to eat, and dogs refus
5	people	... were heard. But the city's one million people were i

3. Teaching at the Linguistic Level after Comprehension of Reading Text

After grasping the structure and content of the text, the teaching of reading will transition to the language level. Here follows a word-teaching design, using the keywords-- "destroy" and "damage " in the text as an example to show how to use the Corpus of Current American English (COCA) to carry out the instruction of synonym discrimination rather than students just stay there and listen to their teacher's interpretation for these two words.

Search for "destroy[V*]" and "damage[V*]" in the COCA interface Word field to get profiles of these two, which informing students roughly about some detailed information like register, definition, synonyms, topics, collocates even clusters (see Figure 2,3). Watching these two interfaces, students can quickly know that their usage difference in register that destroy was mostly used in web, TV and movies while damage is widely found in magazine and news, which may remind them to choose word according to different writing styles. As for explanation,

connect the structure of the article, and finally expanding the reading practice. During the extended reading phase, students can use the internet to search for the latest language resources related to the unit topic, such as the reactions of humans or animals before, during, and after the occurrence of other natural disasters such as tsunamis and mudflows. Then Ask students to record what they have surfed and write down the responses in a composition, which not only help students consolidate their established knowledge, but also help students open up a path of independent learning for searching, reading, thinking and writing.

IV. CONCLUSION

This paper, guided by the schema theory, explored a feasible reading teaching model in senior high school from the perspective of corpus linguistics. Obviously, corpus-based English reading teaching activities show how teachers should help students predict the theme of the text in the actual teaching process to develop their reading skills of predicting topics and grasping key information. At the same time, the corpus is used to exhibit the mass presentation of examples and highlight the key information to help students focus on teaching points such as vocabulary, grammar, motivating students to explore the rules of language use and enhancing their sensitivity to the real use of language. Moreover, corpus-assisted English reading teaching model follows the trend of the widespread application of modern electronic information technology in the era of information explosion. It is easy to resonate with teenagers and further stimulate students' interest in learning.

However, there are also some limitations in corpus-based reading teaching model. For example, the concordance line can only be used to roughly clarify the plot and obtain some important information; as for the rhetorical devices, author's attitude and other details, it still requires teacher to use the traditional teaching approach to guide students to explore. Hence More attention can be paid to making full use of the advantages and avoiding the disadvantages in the later teaching practice of combining corpus-based methods with traditional teaching approach in English reading teaching, and then this teaching model would greatly contribute to English reading teaching.

REFERENCES

- [1] Al-Issa, A. (2011). Schema theory and l2 reading comprehension: implications for teaching. *Journal of College Teaching and Learning*, 3(7).
- [2] Ajideh, P. (2006). Schema–theory Based Considerations on Pre-reading Activities in ESP Textbooks. *The Asian EFL Journal*.
- [3] Erickson, L. C., & Thiessen, E.D. (2015). Statistical learning of language: theory, validity, and predictions of a statistical learning account of language acquisition. *Dev. Rev.* 37,66-108.
- [4] Gu X. (2013). On the Design of Preamble Activities in Senior English Reading from the Perspective of Schema Theory. *Journal of Teaching and Management*, (31),69-71.
- [5] Hassan, M., Mahmood, K., & Farahnaz, R. et al. (2013). The Role of Schema or Background Knowledge Activation and graphic Organizer on Increasing Iranian EFL Learners' Reading Comprehension.
- [6] He, A., Liang H., & Tang J. (2017). *Introduction to Corpus-Assisted English Teaching* (Revised Edition). Beijing: Foreign Language Teaching and Research Press, 45-51,126.
- [7] Liaw, M. L. and English, K. (2017). Technologies for teaching and learning L2 reading. *The handbook of technology and second language teaching and learning*, 62-76.
- [8] Ma, Y. & Zhang, C. (2019). Corpus-assisted English Reading Vocabulary Teaching. *Journal of The Chinese Society of Education*(S1), 84-85+99.
- [9] Ministry of Education of the People's Republic of China. (2020). *New Curriculum Standards for General Senior High Schools* (2017 Edition, 2020 Revision). Beijing: People's Education Press.
- [10] Rasakumaran, A. and Patrick, J. J. D. (2019). Schema Theory and Cognitive Aspects of Reading. *Journal of Humanities and Social Science*, 24(4), 26-30.
- [11] Rumelhart D. E. (1980). Schemata: The building blocks of cognition. *Theoretical issues in Reading Comprehension*. Hillsdale, NJ: Elbaum, 5.
- [12] Sun, G. (2003). Application of Schema Theory in English Reading Teaching. *Journal of Xi'an International Studies University*, (03),33-35.
- [13] Wang, H., Zheng, Y., & Cai, Y. (2015). Application of corpus analysis methods to the teaching of advanced English reading and students' textual analysis skills. Palgrave Macmillan UK.

- [14] Wang, H. (2014). Corpus-based Approach to Cognitive Context Construction in Reading Teaching. *Foreign Language Education in China*, (02),19-26+98-99.
- [15] Wang, Z. (2013). Corpus-assisted English Reading Teaching in Senior High Schools: A Case Study. *Journal of Basic English Education*, (01),9-13.
- [16] Xu, M. & He. A. (2004). Schema Theory, Corpus Linguistics and Foreign Language Teaching. *Journal of PLA University of Foreign Languages*, (06),45-49.
- [17] Xu, M. & He. A. (2016). Corpus Technology Promotes English Deep Reading Teaching. *China Educational Technology*, (12),87-90.
- [18] Zheng, J., Wei, L. & Kang, T. (2017). *Empirical Study on Schema Theory & FLT*. Shanghai: Shanghai University Press, 171-174.

An Analytical Examination of Iran-USA Relations Post-Islamic Revolution: Extended Scientific Review

Ellias Aghili Dehnavi

Ph.D. Candidate, Doctoral School of Social Sciences, faculty of Political Science and Journalism, Adam Mickiewicz University, Poznan, ellagh@amu.edu.pl, <https://orcid.org/0009-0001-9238-056X>

Received: 30 Jul 2024; Received in revised form: 28 Aug 2024; Accepted: 04 Sep 2024
©2024 The Author(s). Published by TheShillonga. This is an open-access article under the CC BY license
(<https://creativecommons.org/licenses/by/4.0/>)

Abstract

The book "Sorry, How Can I Get to Washington?" Ellias Aghili Dehnavi highlights the historical, ideological and geopolitical features of the relations between Iran and the US from the Islamic Revolution in 1979 until now. In this book, the relationship between the two states is illustrated with the help of the analysis of the inclement of international and domestic politics, the deep rooted "faith" of the people as well as critical episodes. In this regard, the narrative is divided into a number of chapters corresponding to the specific periods in history of the Iran USA relations starting with the aftermath of the Islamic Revolution including the hostage crisis, further development of the relations, War with Iraq and further attempts including diplomatic ones leading to development or depreciation in the so called bilateral relations between the two counties¹.

Keywords— U.S foreign policy, Iran, Middle East, Strategies and Doctrines, conflict resolution

I. POST-REVOLUTIONARY TENSIONS AND THE HOSTAGE CRISIS²

The strategic locating of trajectory changes towards the Islamic Revolution's ideological conflicts is elaborated in the first few turns. There, the dominance of American intervention and political hegemony is blocked by the new "Islamic" patriotic ideology and Dehnavi explains that to the fullest extend; he then suggests that this ideological change was the main cause of souring and conflicts resulting in incidents like the storming of the US embassy in Tehran in 1979.

He closely scrutinizes the hostage crisis, analyzing the reasons why students decided to storm the embassy and how this act of resistance became an integral part of the anti-Americanism in Iran. Also there is an analysis of how the Americans reacted; this includes a "no-response policy" and sanctions among other forms, these were demonstrated as measures that entrenched the enemies' relations further³.

II. THE IRAN-IRAQ WAR: A TURNING POINT

This section of the book has a special attention with regard to the Iran-Iraq War (1980-1988) which Dehnavi views as a decisive moment in Iran-USA relations and the one that every Iranian citizen remembers. The author also examines the geostrategic facets of the conflict and notes that despite the official policy of neutrality, concerning the military conflict between Iraq and Iran, the United States did help Iraq, at least in terms of military information and financial assistance. Dehnavi posits: supported regimes were part of an even more extensive containment of "Islamization" and particularly diapason of Iran's rise within the Middle East.

War discourse also cuts across its ramifications on internal relations in Iran where it accentuated the anti-U.S. posture of the ruling system, as well as, provided justification for the lodging of the same revolutionary policies that characterized the first years of the Islamic state. In this context, Dehnavi nails the target denoting as part of his own

¹ Dehnavi, E. A. (2020). Sorry, how can I get to Washington? ResearchGate.

https://www.researchgate.net/publication/381096520_Sorry_how_can_I_get_to_Washington

² Fiedler, R., & Dehnavi, E. A. (2024d). Unraveling the Enigmas: Deciphering the Causes of Discord in the Middle East: A Review. Journal of Humanities and Education Development, 6(1), 51–56. <https://doi.org/10.22161/jhed.6.1.7>

³ Fiedler, R., & Dehnavi, E. A. (2024c). Navigating Engagement with Iran: Exploring US Strategies and Options: A Futuristic Scenario and Review. International Journal of English Literature and Social Sciences, 9(2), 109–113. <https://doi.org/10.22161/ijels.92.18>

research,” American Iranian” bilateral relations’ historical documents, which reveals the pervasive nature of mutual animosity and distrust among U.S. and Iranian decision-makers and cupboards.

III. DIPLOMATIC EFFORTS AND THE ROLE OF IDEOLOGY⁴

This chapter signifies the end of violent conflict and Dehnavi turns his attention to the various measures taken by both countries in order to normalize or, at least, to temperate their deteriorating relations. The book elaborates on how every new President of the US (varying in political orientation) responding was based on their political doctrine towards Iran and the whole region. Dehnavi proposes that there was a strong role played by the ideas in galleries of power in both Washington and Tehran that determined the content of each strategy.

In particular, Dehnavi illustrates the close correlation between U.S. political strategies⁵ and deep fears of the expansion of Islamic fundamentalism as conceived by Reagan administration on the one hand, and ideology that motivated legitimized Iranian aggressions, on the other. The author, in particular, analyzes the unsuccessful diplomatic policies undertaken by the leaders in Iran during the presidencies of Rafsanjani and Khatami and the reasons for the political strife in Iran and America that often curtailed such policies.

IV. THE NUCLEAR ISSUE AND SANCTIONS⁶

The book also gives a detailed account of the nuclear issue which has been a bone of contention between Iran and USA since the early part of the 21st century. Dehnavi hastens to show the developments that led to the emergence of an Iranian nuclear program, and, over the constant reticence of the majority of the world, the making of the very dangerous economic measure by the USA and its partners.

Dehnavi’s insights stress the nuances of the nuclear talks, particularly the extent to which they were shaped by the fact of the time, which included political issues such as Iraq and Syria (specially the matter of the proxies⁷), and the position

of Iran in the region, its standing with Russia and China. The article examines the effectiveness of sanctions on the Iranian economy and socio-spatial relations, and exploits that although it has achieved its aim of strangulating the Iranian authorities, it eventually has aggravated the two countries’ interrelation.

V. THE OBAMA AND TRUMP ADMINISTRATIONS: DIVERGENT APPROACHES

In another one of the most up-to-date parts of the book, Dehnavi views different ways of two Presidents, Barack Obama and Donald Trump towards Iran; -to abridge the words-, president Trump and President Obama are two different ends of a pole; the pole is the United States foreign policy and what makes the difference is just their ways of navigation. The book presents a detailed study of the 2015 nuclear agreement with Iran signed by six world powers and the European Union in which Iran agreed, for sanctions relief, to limit its nuclear program in exchange.

The book however also highlights how this attitude concentrated on the negative constraining future of Iran policy led to the collapse of the JCPOA as desired by the Trump administration, which re-instituted sanctions and took a tougher line against Iran. And with that aggressive policy, Iran pulled itself even closer to Russia and China than it had been under the Obama administration and made the “Middle East situation worse in more than one respect”, Dehnavi says.

VI. THEMATIC ANALYSIS: IDEOLOGY VS. PRAGMATISM

In Dehnavi’s book, the main conflict between ideology and realism between the USA and Iran’s relation is apparent throughout. He goes on to state that while on some occasions the two nations have made realistic diplomatic overtures, the ideological aspect came on the way more often than not. For Iran, Islamic Revolution ideas have always been situated at the top of the foreign relations pyramid which also restrained engagement in extra-territorial activity by American ways. For Dehnavi, this ideological narrow-mindedness has contributed to the lack

⁴ Dehnavi, E. A., & Adami, A. (2022). Futuristic research of basic problems in the way of negotiations between Iran and the United States. ResearchGate. <https://doi.org/10.2478/bjlp-2022-002064>

⁵ Dehnavi, E. A., & Jamal, M. A. (2020). From Containment to Americanism. ResearchGate. https://www.researchgate.net/publication/381002365_From_Containment_to_Americanism

⁶ Firoozabadi, S. J. D., Dehnavi, E. A., & Rahiminezhad, M. A. (2023). Modeling the Factors Affecting the Nuclear Negotiations

of Iran in 5+1 with the Fuzzy Approach: Structural. . . ResearchGate.

https://www.researchgate.net/publication/368645640_Modeling_the_Factors_Affecting_the_Nuclear_Negotiations_of_Iran_in_51_with_the_Fuzzy_Approach_Structural_Equations

⁷ Dehnavi, E. A., & Safavipour, A. (2024). Decoding Iran’s Proxy Strategy: Determent or Destabilization? A Review and Scientific Commentary. Journal of Humanities and Education Development, 6(5), 01–06. <https://doi.org/10.22161/jhed.6.5.1>

of security and durable peace in the area; he encourages the practice of pleadings that thinks differently concerning such tricky issues.

Scientific Merit and Contribution

"*Sorry, How Can I Get to Washington?*" is an impressive piece of work in that it is a thorough and academic study of a very difficult and a complicated international issue of our contemporary times. Dehnavi employs a descriptive-analytic methodology substantiated with a plethora of primary and historical sources providing comprehensively where Iran-USA relations reside.

The real merit of the book is in the attempts to situate the facets of the relations between the countries into the geopolitical map including political, military and socio-economic dynamics. In doing this, Dehnavi not only illuminates the history, but also indicates the paths that may be taken by this strategic relationship in the future; he does not limit himself to only singular historical points but rather he takes a theoretical and general approach towards the deeper philosophical fundamentals in both countries (i.e., exceptionalism for the Americans⁸ and the role of ideology for the Iranian)

VII. CONCLUSION

Ellias Aghili Dehnavi's "*Sorry, How Can I Get to Washington?*" is an essential resource for scholars, policymakers, and students of international relations, Middle Eastern studies, and diplomatic history. The book offers a detailed and balanced analysis of Iran-USA relations, emphasizing the interplay between ideology, geopolitics, and diplomacy besides the fluctuations in the hegemony of the U.S.⁹. As such, it is a valuable contribution to the ongoing discourse on how these two nations might navigate their fraught relationship in the years to come.

REFERENCES

- [1] Dehnavi, E. A. (2020). *Sorry, how can I get to Washington?* ResearchGate. https://www.researchgate.net/publication/381096520_Sorry_how_can_I_get_to_Washington
- [2] Fiedler, R., & Dehnavi, E. A. (2024d). Unraveling the Enigmas: Deciphering the Causes of Discord in the Middle East: A Review. *Journal of Humanities and Education Development*, 6(1), 51–56. <https://doi.org/10.22161/jhed.6.1.7>

- [3] Fiedler, R., & Dehnavi, E. A. (2024c). Navigating Engagement with Iran: Exploring US Strategies and Options: A Futuristic Scenario and Review. *International Journal of English Literature and Social Sciences*, 9(2), 109–113. <https://doi.org/10.22161/ijels.92.18>
- [4] Dehnavi, E. A., & Adami, A. (2022). Futuristic research of basic problems in the way of negotiations between Iran and the United States. ResearchGate. <https://doi.org/10.2478/bjlp-2022-002064>
- [5] Dehnavi, E. A., & Jamal, M. A. (2020). From Containment to Americanism. ResearchGate. https://www.researchgate.net/publication/381002365_From_Containment_to_Americanism
- [6] Firoozabadi, S. J. D., Dehnavi, E. A., & Rahiminezhad, M. A. (2023). Modeling the Factors Affecting the Nuclear Negotiations of Iran in 5+1 with the Fuzzy Approach: Structural. . . ResearchGate.
- [7] Dehnavi, E. A., & Safavipour, A. (2024). Decoding Iran's Proxy Strategy: Determent or Destabilization? A Review and Scientific Commentary. *Journal of Humanities and Education Development*, 6(5), 01–06. <https://doi.org/10.22161/jhed.6.5.1>
- [8] Dehnavi, E. A., & Fiedler, R. (2024e). Adventures of Two Captains' Trilogy and U.S Exceptionalism in their Foreign Policy: Manifestation of Think Tanks in a literary work. *International Journal of English Literature and Social Sciences*, 9(3), 277–281. <https://doi.org/10.22161/ijels.93.35>
- [9] Dehnavi, E. A. (2020). The reasons for the decline of American hegemony and its impact on China's regional policies in the Middle East. *Revista San Gregorio*, 1(37). <https://doi.org/10.36097/rsan.v1i37.1274>

⁸ Dehnavi, E. A., & Fiedler, R. (2024e). Adventures of Two Captains' Trilogy and U.S Exceptionalism in their Foreign Policy: Manifestation of Think Tanks in a literary work. *International Journal of English Literature and Social Sciences*, 9(3), 277–281. <https://doi.org/10.22161/ijels.93.35>

⁹ Dehnavi, E. A. (2020). The reasons for the decline of American hegemony and its impact on China's regional policies in the Middle East. *Revista San Gregorio*, 1(37). <https://doi.org/10.36097/rsan.v1i37.1274>

The Trump Doctrine: Redefining U.S. Foreign Policy through Immigration, Security, and Diplomacy

A Review Article of the Book “*Waking Up from An American Dream*”

Ellias Aghili Dehnavi

Ph.D. candidate, Doctoral School of Social Sciences, Adam Mickiewicz University, Poznan, Poland

ellagh@amu.edu.pl

<https://orcid.org/0009-0001-9238-056X>

Received: 05 Aug 2024; Received in revised form: 02 Sep 2024; Accepted: 10 Sep 2024

©2024 The Author(s). Published by TheShillonga. This is an open-access article under the CC BY license

(<https://creativecommons.org/licenses/by/4.0/>)

Abstract

‘Waking up from an American Dream’ discusses the US foreign affairs during Trump’s presidency with an emphasis on the particular pillars of terrorism, immigration, and international relations regarding the adversary countries. Written by professors Hossein Daheshiar, Ellias Aghili Dehnavi, and Marzieh Iranpour, the work analyzes both the application of the so-called “Jacksonian” politics by the Trump administration besides the variants of the containment politics, regarding the foreign policy of the U.S, the book addresses the multidimensional aspects of security, immigration and diplomacy, addressing those particular interactions that are especially relevant in the aftermath of 9/11. This piece, published by tradition gmbh in 2020, is also a part of wider scholarly debate concerning changes in American politics within the presidency of Trump with, however, deeper implications for international relationsⁱ.

Keywords— *Trumpism, foreign policy, security studies, intercontinental peace, immigration.*

U.S Foreign Policy and Terrorismⁱⁱ

The very first chapter of the book focuses on terrorism in American policies. The authors present the idea that terrorism attacks on the U.S formed a new turning point in the development of U.S. politics carving out new policies, effective after the September 11th tragedy. This discussion is evidenced by some past events, as well as the deeper understanding of such events in terms of the processes that took place among ordinary American citizens as well as the leader after seven/ eleven. As it was stated in the book, the U.S. has defined terrorists, MDW, and ‘evil regimes’ as three primary threats. The authors assert that this particular typology has been influential in the formation of an American foreign strategy, especially in the Trump eraⁱⁱⁱ.

Especially, it is the change in military policy from deterrence to pre-emptive that the authors highlight regarding the National Security Strategy for the 21st Century, and how it was adjusted over the course of a few years following 9/11. As detailed criticism of American military offensives in Afghanistan and Iraq Nudged the quite rise of American terrorism in these countries -

Vietnam Syndrome Blame is commonly expressed during the lash of America. The authors themselves provide a fair account, even as they grapple with the trauma that accompanies such defeats with the US, global order in tangentially been affected too.

Immigration Policy: A Political Weapon^{iv}?

A prominent theme has been Trump’s immigration policy, which the authors see as an integral part of his foreign policy. They contend that ‘America First’ rhetoric, as well as the President’s executive orders regarding immigration, including the ban on travel for citizens from predominantly Muslim countries, served more of uniting the populace and little of providing any defense to the nation’s borders^v.

When mentioning Trump’s travel bans, the book goes into detail on how even when these policies were contested in courts, they were also criticized extensively both in the USA and outside. Examining various opinions on domestic legal matters and their public response, the authors conclude that policies instituted by Trump regarding immigrants were implementers of the large-scale campaign of changing the perception and the values of America. They state that the

United States' portrayal of itself as a nation built on opportunity was endangered by the discriminatory policies that these proponents proposed^{vi}.

U.S Defeat in Iraq and Afghanistan

The two interventions of Iraq and Afghanistan are intriguing since they show an analysis of the American military in the broadest terms, how these wars transformed the conduct of the American military, as those too were surprising in developing military outcomes (i.e. having an advanced military capacity, no one would expect such outcomes) the U.S aggressive foreign policy manifested itself in the format of a military paralysis in the upcoming years due to a variety of regional (field) reasons that are beyond our current discussions.

This section seeks to evaluate in detail the challenges that were recorded in Afghanistan by showing the U.S. fail to achieve a balance between the strategic objectives and the environment. As noted by the authors, the technological superiority as well as airpower cannot be used in isolation against the offensive asymmetric warfare strategies used by the Taliban and other insurgents. The writers of the book describe the failures of the United States in the war in Afghanistan as chronic, in that they proliferated and expanded self-illusions over protracted periods of time^{vii}.

Trump's Foreign Policy Strategy

In the book, Trump's foreign policy is shown as leavened by a mixture of variations of unilateralism and militarism. The authors explore the "America First" policy of Trump and state how it was a radical change from the existing foreign policy of the United States. Despite being politically unreliable and placing America's needs ahead of the multilateral cooperative arrangements Trump successfully alienated the country from its past foreign policy as a world power. The risks associated with such a unilateral strategy are further illustrated by how Trump pulled the US out of the JCPOA^{viii} (Joint Comprehensive Plan of Action) and how belligerent he was towards North Korea.

This chapter further highlights the case of America's withdrawal from NATO which was borne out of trump's fondness for challenges by bounds of international security as per this chapter. Domestically, one could appreciate Trump's public remarks against NATO and such structures; however, his administration blinked and continued the defense political structures and used the forces whenever appropriate. The authors contend that the style of foreign policy exhibited by Trump was mainly responsive to issues emanating from within rather than being rationally synthesised around action directed towards diplomacy.

Coercive Diplomacy and Military Intervention

The concept of coercive diplomacy terminative strategies comes across as prominent in discussions throughout the book. The authors illustrate how military or economic coercion became a commonplace practice of Trump's administration while pushing for the attainment of specific goals. While this plan was meant to avoid an all-out war, it nevertheless raised tensions against hostile nations. Regarding the strategy itself, the book presents a clear criticism, namely that while the time and resources needed for the linear approach are more desperate than those needed in coercive diplomacy, odious aggression is likely to occur further in most cases.

Moreover, the authors point out that Trump embraced the politics of "coercive diplomacy" as a way of thinking that is undergirded by more militaristic tendencies, for example, in his promotion of military generals to various positions in his administration. They contend that this marked a decisive departure from the norms of diplomacy which return to militarism in foreign policy with immense effects on the climate of the world^{ix}.

CONCLUSION

"Waking up from an American Dream" is a very detailed and evaluative speculation of the U.S. foreign policy under President Donald Trump. The authors are exceptionally good at balancing the issues of terrorism, immigrants, and international relations, putting in new developments and past events. The most prominent aspect of the book is its capacity to put Trump's policies in the context of the evolution of American foreign relations whereby the reader is able to appreciate the consequences of such rational policies in the long run^x.

All the same, though the book is excellent in its coverage especially with the U.S. policy, it is at risk of being overly critical of Trump at some points and in the process failing to provide other recommendations or even other contrarian strategies. There is no doubt that the authors are able to demonstrate the erroneous steps of the Trump administration, however, the other upcoming versions of the book would benefit from a more constructive assessment of the U.S. foreign policy in the coming years. But, for those who want to know why these last changes have occurred and what has happened with American strategies, political and military ones, this book is worth reading^{xi}.

REFERENCES

- [1] Dehnavi, E. A., & Jamal, M. A. (2020). From containment to Americanism. ResearchGate. https://www.researchgate.net/publication/381002365_From_Containment_to_Americanism
- [2] Fiedler, R. A., & Dehnavi, E. A. (2024). The Styles in the American Politics Volume II, Conservative Think tanks and their Foreign Policy: A Booklet. ResearchGate
- [3] Fiedler, R., & Dehnavi, E. A. (2024). Navigating Engagement with Iran: Exploring US Strategies and Options: A Futuristic Scenario and Review. *International Journal of English Literature and Social Sciences*, 9(2), 109–113. <https://doi.org/10.22161/ijels.92.18>
- [4] MEXICAN IMMIGRANTS CHALLENGES FOR AMERICAN IDENTITY. (2020). *Journal of Critical Reviews*, 7(06). <https://doi.org/10.31838/jcr.07.06.164>
- [5] Dehnavi, E. A., & Daheshiar, H. (2020). Changes and indicators of trump's new immigration policy plan. ResearchGate
- [6] Fiedler, R. A., & Dehnavi, E. A. (2024b). Weaknesses of policy making in Iran to reduce the rate of departure of elites from the country. ResearchGate.
- [7] Dehnavi, E. A., & Safavipour, A. (2024). Decoding Iran's proxy strategy: deterrent or destabilization? A review and scientific commentary. *Journal of Humanities and Education Development*, 6(5), 01–06. <https://doi.org/10.22161/jhed.6.5.1>
- [8] Firoozabadi, S. J. D., Dehnavi, E. A., & Rahiminezhad, M. A. (2023). Modeling the Factors Affecting the Nuclear Negotiations of Iran in 5+1 with the Fuzzy Approach: Structural. ResearchGate. https://www.researchgate.net/publication/368645640_Modeling_the_Factors_Affecting_the_Nuclear_Negotiations_of_Iran_in_5_1_with_the_Fuzzy_Approach_Structural_Equations
- [9] Dehnavi, E. A. (2024). An Analytical Examination of Iran-USA Relations Post- Islamic Revolution: Extended Scientific review. ResearchGate. <https://doi.org/10.22161/jhed.6.5.4>
- [10] Dehnavi, E. A., & Nourmohammadi, M. (2023). Factors of the prevalence of authoritarianism and the push on democratization in the Middle East. ResearchGate. https://www.researchgate.net/publication/368297277_Factors_of_the_Prevalence_of_Authoritarianism_and_the_Push_on_Democratization_in_the_Middle_East
- [11] Fiedler, R. A., & Dehnavi, E. A. (2024b). The Styles in the American Politics Volume II, Conservative Think tanks and their Foreign Policy: A Booklet. ResearchGate. https://www.researchgate.net/publication/379449531_The_Styles_in_the_American_Politics_Volume_II_Conservative_Think_Tanks_and_Their_Foreign_Policy_A_Booklet
-
- ⁱ Dehnavi, E. A., & Jamal, M. A. (2020). From containment to Americanism. ResearchGate. https://www.researchgate.net/publication/381002365_From_Containment_to_Americanism
- ⁱⁱ Fiedler, R. A., & Dehnavi, E. A. (2024). The Styles in the American Politics Volume II, Conservative Think tanks and their Foreign Policy: A Booklet. ResearchGate. https://www.researchgate.net/publication/379449531_The_Styles_in_the_American_Politics_Volume_II_Conservative_Think_Tanks_and_Their_Foreign_Policy_A_Booklet/references
- ⁱⁱⁱ Fiedler, R., & Dehnavi, E. A. (2024). Navigating Engagement with Iran: Exploring US Strategies and Options: A Futuristic Scenario and Review. *International Journal of English Literature and Social Sciences*, 9(2), 109–113. <https://doi.org/10.22161/ijels.92.18>
- ^{iv} MEXICAN IMMIGRANTS CHALLENGES FOR AMERICAN IDENTITY. (2020). *Journal of Critical Reviews*, 7(06). <https://doi.org/10.31838/jcr.07.06.164>
- ^v Dehnavi, E. A., & Daheshiar, H. (2020). Changes and indicators of trump's new immigration policy plan. ResearchGate. https://www.researchgate.net/publication/362014916_Changes_and_indicators_of_trump's_new_immigration_policy_plan
- ^{vi} Fiedler, R. A., & Dehnavi, E. A. (2024b). Weaknesses of policy making in Iran to reduce the rate of departure of elites from the country. ResearchGate. https://www.researchgate.net/publication/380375144_Weaknesses_of_policy_making_in_Iran_to_reduce_the_rate_of_departure_of_elites_from_the_country
- ^{vii} Dehnavi, E. A., & Safavipour, A. (2024). Decoding Iran's proxy strategy: deterrent or destabilization? A review and scientific commentary. *Journal of Humanities and Education Development*, 6(5), 01–06. <https://doi.org/10.22161/jhed.6.5.1>
- ^{viii} Firoozabadi, S. J. D., Dehnavi, E. A., & Rahiminezhad, M. A. (2023). Modeling the Factors Affecting the Nuclear Negotiations of Iran in 5+1 with the Fuzzy Approach: Structural. . . ResearchGate. https://www.researchgate.net/publication/368645640_Modeling_the_Factors_Affecting_the_Nuclear_Negotiations_of_Iran_in_5_1_with_the_Fuzzy_Approach_Structural_Equations
- ^{ix} Dehnavi, E. A. (2024). An Analytical Examination of Iran-USA Relations Post- Islamic Revolution: Extended Scientific review. ResearchGate. <https://doi.org/10.22161/jhed.6.5.4>
- ^x Dehnavi, E. A., & Nourmohammadi, M. (2023). Factors of the prevalence of authoritarianism and the push on democratization in the Middle East. ResearchGate. https://www.researchgate.net/publication/368297277_Factors_of_the_Prevalence_of_Authoritarianism_and_the_Push_on_Democratization_in_the_Middle_East
- ^{xi} Fiedler, R. A., & Dehnavi, E. A. (2024b). The Styles in the American Politics Volume II, Conservative Think tanks and their Foreign Policy: A Booklet. ResearchGate. https://www.researchgate.net/publication/379449531_The_Styles_in_the_American_Politics_Volume_II_Conservative_Think_Tanks_and_Their_Foreign_Policy_A_Booklet

A Comparative Study of Black Humor as Seen in *Catch-22* and *A Good Man Is Hard to Find*

Li Hang

Postgraduate in Yangtze University, China
Email: 1150468479@qq.com

Received: 08 Aug 2024; Received in revised form: 11 Sep 2024; Accepted: 17 Sep 2024
©2024 The Author(s). Published by TheShillonga. This is an open-access article under the CC BY license
(<https://creativecommons.org/licenses/by/4.0/>)

Abstract

The purpose of this thesis is to find the similarities and differences between *Catch-22* and *A Good Man Is Hard to Find* in the direction of literary genre in black humor. Based on works in both Chinese and English and a lot of literary criticism, the systematical research will be done in aspects of art style, language, the writing technique, major character and theme to obtain a more profound understanding of these two novels. According the research, the thesis gets conclusions as following: *Catch-22* and *A Good Man Is Hard to Find* are both tragedies, but because of the implicit and calm expression of the two authors, both the two works have the effect of comedy. The former subverts the traditional narrative mode by describing absurd plots in a spider web structure, and portrays a alienated major character - Yossarian, who wants to escape from combat, while the latter uses the traditional linear mode to depict a hypocritical character - Grandma. The two characters are both anti-heroes. Nevertheless, *Catch-22* mostly uses repetition and symbolism to reveal the cruelty of reality and wars and show human alienation, while *A Good Man Is Hard to Find* tends to use the metaphor to express the theme of original sin, violence and redemption.

Keywords— black humor; *Catch-22*; *A Good Man Is Hard to Find*; comparative study

I. INTRODUCTION

As an indispensable literary genre, black humor plays a pivotal role in the history of modern American literature. The sound of laughter is mingled with sadness, and absurd stories are told in a cold and implicit tone. Academia generally thinks that black humor emerged in the 1960s, with Joseph Heller's *Catch-22* as his typical work, but in fact, as early as the 50s, the famous writer O'Connor already used the style of black humor in her works, for example, *A Good Man Is Hard to Find*, whether the plot or characters are all filled with the evident color of absurdity. In recent years, many scholars have devoted themselves to exploring the characteristics of both the two works in the use of black humor, but they have tended to study them respectively rather than have made a comparative analysis of the two works.

In order to fill the gap of the existing relevant studies, this thesis aims to systematically study the similarities and differences between the two works in the use of black humor, covering artistic style, language, writing technique, character and theme, so as to obtain a more profound

understanding of the literary genre of black humor and the two works. There are five parts in the thesis: Introduction of the main content, importance and structure of the thesis are arranged in the first chapter, the second chapter mainly introduces the origin, definition and characteristics of black humor, as well as the writing background of the two works. The third chapter mainly introduces the similarities between the two works in terms of writing style, language and plot, while the fourth chapter introduces the differences between the two works in terms of writing technique and theme. The fifth chapter is the summary and reflection of this thesis.

II. ABOUT BLACK HUMOR AND THE TWO NOVELS

This second part of the thesis will review the origin, definition, and features of black humor. At the same time, different writing backgrounds of the two novels will be introduced.

2.1 Black Humor

Black humor is also called comedy of despair." "Black" refers to the terrible and dark real world, while "humor" refers to a sense of relaxation, which is made by the use of comic language or a series of writing techniques, such as exaggeration, innuendo, irony, etc. Their aim is to reveal the absurd and cruel objective reality. Moreover, it is a genre of literary creation that depicts the objective reality with sarcasm and helplessness in the contradiction between individual free will and social reality. This literary style has existed since the 1950s, but it wasn't an official genre until 1960s, when the book *Black Humor* was published.

Regarding its origin, the realistic reasons for the emergence of black humor literature genre can be summarized into two points.

At first, the society was in the period of recovery after the war. America spent a lot of manpower and material resources in World War III, and suffered serious injuries and deaths. All kinds of issues, including minority, racial discrimination and the rise of the feminist movement happened. Criminal activities also emerged endlessly. Social turmoil led to people's pessimism. Americans who believed in God and reason began to doubt their beliefs, some sensitive writers in particular were so upset that they began to try to use a cynical language to express their despair of this world.

Secondly, the rapid development of science and technology affected people's material and spiritual life, and also had a certain impact on people's values. The life of people was full of pop music and fashion clothing, material progress ushered in more open mind. However, at the same time, highly developed material progress seemed to fetter the life of people. The loss of individuality and free will was what some authors worried about. Facing the disordered and dark world, writers produced much profound pessimism because they no longer believed in the religion and could not see the dawn of the future.

As for its writing style, just like its name, it expresses the dark and absurd world with humorous and ironic language. Generally speaking, it has three characteristics.

Firstly, the ironic language. Black humor works usually use the calm and reserved language. On the surface, the author is just stating the facts without any subjective attitude, but in fact, the author is mocking everything. Secondly, the anti-heroes. Characters in black humor literature are often unwilling to follow rules and even deny traditional values. In sharp contrast to other characters, they feel everyone is drunk and they are the only ones who are awake. Finally, the haphazard narrative structure. Black humor literature usually disrupts the concept of

time, space and the conventional narrative mode, taking the thought as the guide to form a disorganized plot.

2.2 Different Writing Backgrounds of the Two Novels

Although *Catch-22* and *A Good Man Is Hard to Find* belong to the same school of black humor literature, their writing backgrounds are utterly different. *A Good Man Is Hard to Find*, written in 1953, was full of strong southern cultural characteristics and religious factors, and based on the original sin of human beings. The collapse of the southern culture and the decline of traditional culture made people's beliefs take a hit. The Catholic Church claimed that human were born with evil, with the "original sin," and people lived in the world in order to atone for their sins. Therefore, when God and religion were doubted, people began to find other ways to make atonement for the original sin. Only if religious beliefs were awakened, people could understand the truth of life. O'Connor wrote for readers who thought God has died to arouse their religious thoughts.

But *Catch-22* was written based on a very different background. It dealt with the most compelling subject of that time: war. The World War II just ended at that time, and the author, who had served as an Air Force bomber pilot in the war and had a deep experience of the conditions of war, thereby used this novel to reveal the cruelty of war.

III. SIMILARITIES ABOUT BLACK HUMOR IN THE TWO NOVELS

This part will show the detailed information of the similarities in the *Catch-22* and *A Good Men Is Hard to Find*, including 3 aspects.

3.1 Comic Description of Tragic Content

Describing absurd stories with a sarcastic attitude is a major feature of black humor literature works. The two works studied in this thesis also extensively use the effect of comedy to describe pessimistic stories.

At first, in *A Good Man Is Hard to Find*, the work of Flannery O'Connor, comedy effects are very obvious since the opening. In the beginning, the father Bailey decides to lead the families to go on vacation in Florida, but grandma still tries to change his plan. For some time, families bicker and squabble with grandma. The argument finishes with the following dialogue.

"All right, Miss," the grandmother said. "Just remember that the next time you want me to curl your hair."

June Star said her hair was naturally curly. (O'Connor 2014:1)

The dialogue sounds ordinary, full of warmth and humor. Besides, characters are labeled as animals in the novel: the child's mother wears a headscarf like rabbit's ears; the father wears a shirt with a parrot on it; there is a monkey eating lice outside. During the journey, grandma is lively and cheerful, and also specially dresses up and says, "In case of an accident, anyone seeing her dead on the highway would know at once that she was a lady." (O'Connor 2014:2) She holds her granddaughter in her arms to play and tell stories about her marriage and the life when she was a young lady in order to show her charm. After the accident, grandma pretends injury to avoid grumble of her son, and gabbles on and on instead of being silent when she sees "Misfit". Her old trick seems humorous, whereas sending the whole family into the hell. In short, her works can always highlight the absurdity of words and deeds of the characters. Readers read with a little curiosity in the easy story description and get a reasonable but unexpected ending.

The comedy of tragic content is also a major feature of Joseph Heller's *Catch-22*. Many episodes in the novel are tragedies that make readers feel sad, but the author uses the way of comedy to tell. On the one hand, these episodes deepens the reader's mawkishness, on the other hand, they deepen the tragedy color of the story content. For example, in "the Cellar," the colonel forces the priest to admit guilt.

"Are you guilt or not guilt?"

"Innocent, Sir," the chaplain licked dry lips with a dry tongue, and leaned forward in suspense on the edge of his chair.

"Guilty," said the Colonel.

"Guilty," said the major.

"Guilty it is, then," remarked the officer without insignia, and wrote a word on a page in the folder. "Chaplain," he continued, looking up, "we accuse you also of the commission of crimes and infractions we don't even know about yet. Guilty or not ? "

"I don't know, Sir. How can I say if you don't tell me what they are?"

"How can we tell you if we don't know?"

"Guilty," decided the colonel.

"Sure, he's guilty." agreed the major. "If they're his crimes and his infractions, he must have committed them."

"Guilty it is, then," chanted the officer without insignia. (Heller 2010:443)

The conversation is illogical. The priest is on trial without knowing what is going on, but on the contrary, he is not

imprisoned, the colonel tells him to leave at once. The language of this dialogue is really compact and lengthy, full of comic effect, but it is easy to see priest's despair and fear through the repetitive language.

The writers of black humor novels make the tragic content comedic and make use of the sharp contrast between tragedy and comedy to express more desperate feelings.

3.2 Emotionless and Calm Language

The emotionless writing attitude means that the author does not add any subjective color and does not involve any ethical and moral evaluation in the writing process, so that readers will not be restricted by any evaluation criteria or affected by the author's personal will, they will have their own real and profound thinking after reading. In addition, the emotionless language often contains the deep and ironic meaning.

In *A Good Man Is Hard to Find*, Flannery O'Connor writes in a very calm attitude. There is no background rendering, without any scene foil, just an outsider who tells the whole story without any subjective color. For example, in the plot of shooting the old lady, the author describes very directly, "The Misfit sprang back as if a snake had bitten him and shot her three times through the chest. Then he put his gun down on the ground and took off his glasses and began to clean them." (O'Connor 2014:14)

There are six verbs in a sentence, but not one adjective, which shows the degree of objectivity. Besides, the author writes in the end, "She would of been a good woman," The Misfit said, "If it had been somebody there to shoot her every minute of her life." (O'Connor 2014:14) Words came to an abrupt end without any moral judgment. The same phenomenon also exists in Joseph Heller's *Catch-22*. For example, in the chapter of Mrs. Daneeka, Dr. Daneeka is mistakenly presumed dead because his name is kept on the list of people in the crashed plane, but in fact, he does not board the plane, he is still alive. There is a dialogue in the novel.

"Just look how cold I am right now. You're sure you're not holding anything back?"

"You're dead, Sir," one of his two enlisted men explained.

Doc. Daneeka jerked his head up quickly with resentful distrust. "What's that?"

"You're dead, sir," repeated the other. "That's probably the reason you always feel so cold."

"That's right, sir. You've probably been dead all this time and we just didn't detect it. (Heller 2010:392)

The language of the characters is plain and calm, which makes people laugh a lot when they read it. However, there is no doubt that after the mockery, they can really feel the strong sense of satire, which causes people to think deeply about the ruthlessness of the war.

3.3 Anti-heroes

Black Humor literature genre is good at creating anti-hero. "Anti-hero" refers to the contrastive image of "hero", marking the publicity of individualism, the decline of traditional moral concept and people's doubts about ideal and faith. Furthermore, "anti-hero" negates all traditional views, and obeys social values in the opposite direction. This kind of character image can be seen in *Catch-22* and *A Good Man Is Hard to Find*.

First of all, in the novel *Catch-22*, Yossarian is a typical anti-hero. In the war, people are actively contributing to society, but Yossarian, after seeing the selfish ideas of superiors and finding that they are doing cruel things with lie of patriotism, only wants to survive. He is determined to stay in the hospital, not on the front line to fight. He rejoices in his stable body temperature of one hundred and one degree Fahrenheit, so that he can stay in the hospital. As an officer, he should check all the letters of soldiers, but Yossarian does not check carefully or responsibly.

After the first day no curiosity at all. To break the monotony he invented games. Death to all modifiers, he declared one day, and out of every letter that passes through his hands went every adverb and every adjective. The next day he made war on articles. He reached a much higher plane of creativity the following day when he blacked out everything in the letters but a, an and the. (Heller 2010:8)

On the surface, Yossarian is quite absurd and even a little irresponsible, but in fact, his behavior reflects the darkness and decay of the society and the darkness of the bureaucracy from the side. His weird behavior is like a distorting mirror to reflect the chaotic world and desperate human beings.

Secondly, in *A Good Man Is Hard to Find*, the old lady is also a typical anti-hero. In order to let Bailey go to the house she wants, she pretends that there are vessels of silver, but they are never found. She arouses the children's curiosity, so Bailey is urged to arrive at that old house. It's the beginning of the tragedy, from here it can be seen that the old lady is a very cunning woman. When the car turns into a roadside ditch, when "Misfit" appears and wants to kill them, the old lady is still persuading "Misfit".

"You wouldn't shoot a lady, would you?" the grandmother said and removed a clean handkerchief from her cuff and began to slap at her eyes with it.

Listen, the grandmother almost screamed, I know you're a good man. You don't look a bit like you have common blood. I know you must from nice people."

"Bailey Boy!" the grandmother called in a tragic voice but she found she was looking at The Misfit squatting on the ground in front of her. "I just know you're a good man," she said desperately. "You're not a bit common!"

"Pray, pray," the grandmother began, pray, pray..." (O'Connor 2014:9-12)

From these descriptions, on the one hand, the old lady is urging "Misfit" not to kill her. She keeps reminding "Misfit" that he is a good boy, even if she knows that he is not, but a man full of sin. She calls out Bailey's name, but at this time she cares more about her own life. On the other hand, the old lady keeps praying. She believes in Christianity, but she is afraid in the face of death, which shows that she is not a true believer in Christianity and is very hypocritical. Her selfish, hypocritical and absurd character image is portrayed incisively and vividly, which violates the image of "hero".

IV. DIFFERENCES ABOUT BLACK HUMOR IN THE TWO NOVELS

In this part, the differences between *Catch-22* and *A Good Man Is Hard to Find* will be analyzed in the terms of narrative technique and themes.

4.1 Narrative Technique

The black humor literature cannot be separated from successful use of writing skills.

First of all, the technique of repetition is used in *Catch-22*. There are not only a lot of repetitive words, but also several repetitive plots. The word "mission" repeats many times in *Catch-22*, 302 times in all. It runs through out the whole novel with shorter and shorter intervals, and more and more flights required. This repetition makes the readers perceive cruelty of superiors, and makes the plots more intense.

Secondly, the repetition of the plot is also obvious. For example, the description of the "soldier in white" in the novel. "The soldier in white was encased from head to toe in plaster and gauze. He had two useless legs and two useless arms. Sewn into the bandage over the insides of both elbows were zippered lips through which he was fed clear fluid from a clean jar, The only thing visible is the worn black hole around the top of the cavity. Nurse Duckett found the soldier dead until a temperature check." (Heller 2010:10) This scene is described three times in all,

respectively in chapter 1, chapter 17 and chapter 34. In short, as Nicholas Bayley says, "The structure of the novel is a recurring plot process. (Bayley 1998:57) And this repetition has its specific narrative effect. As Cheng Yanxi said, "These recurring themes, together with some recurring characters, events and languages make this seemingly scattered work have internal cohesion and unity." (Cheng Xilin 2006:44)

Finally, this novel is also good at using symbolic technique of expression. The most obvious example is the clue throughout the book: Catch-22. The content of the Catch-22 is as follows: on the basis of Catch-22, a madman can stop flying, but he must have evidence which can prove he is a madman, and at the same time, it also stipulates that those who can realize the danger of flight and make an application for flight exemption should continue to perform the flight mission. Moreover, Catch-22 says that pilots can return home after finishing specified times of flying, but the superior gives the pilot more and more flights, and they can not defy him because pilots must obey orders. Seemingly simple Catch-22 is actually a trap that goes round and round, which symbolizes the chaotic and unreasonable bureaucracy of the United States at that time, and reflects the bitter and desperate life of the Americans who can not disobey.

Whether it is repetition or symbolism, the author intends to deepen the absurd color. The sad plots are repeated over and over again to strengthen the readers' memory, thus forming a dark and melancholy picture in the mind. Moreover, they make the readers fall into deep thinking after laughing.

O'Connor is not good at using repetition and symbolism in *A Good Man Is Hard to Find*, instead she uses metaphor. For example, the important character "Misfit" in the novel is a metaphor for the person who is incompatible with the world and is distorted by the injustice of society. Misfit" once has faith in god and believes in happiness. However, after returning to his hometown after the World War III, he is sentenced to jail, and doctors in the prison say he is in jail because he kills his father. "Misfit" can not believe such a lie, because his father has died of flu in 1919. "Misfit" racks his brain trying to remember exactly what he has done, but he can not. He is still unable to understand why he is punished, not others. From the plot of the story, "Misfit" has experienced various hardships of life, which make him begin to question God. The chaos of reality and the absurdity of existence make him believe that only through madness and violence can modern man find the meaning of himself and his existence.

In addition, this novel also involves many environmental descriptions. The woods where the car turns over, for

example. The author describes the woods just as a dark opening mouth, which can engulf them at any time. In this woods, the families all die. Therefore, the woods, in fact, is the hell, and the families fell into the hell of death.

The dark humor of *A Good Man Is Hard to Find* is based on these metaphorical plots. The author does not express the characters and environment in straightforward language but brings out the thought-provoking plots through the relaxed and humorous style. Seemingly, the author is joking, but actually, she is hinting at a terrible ending.

4.2 Different Theme

The theme of *A Good Man Is Hard to Find* is mainly divided into two points. The first point is original sin, and the second point is violence and redemption.

At first, *A Good Man Is Hard to Find* already illustrates the theme in its title, which is full of black humor: good people are hard to find or there are no good people. This point comes from the doctrine of original sin of Augustine, meaning "everyone has sin." However, O'Connor does not directly use original sin or suchlike similar title to name her novel, but naming in another way and at the same time, retaining its original meaning. This way of naming is very ironic, just like a humorous exclamation for human, but its rooted meaning is actually connected with the original sin, and aims to satirize people who have lost religious beliefs and ignored original sin in that time. The content of doctrine of original sin is: because of the fall of Adam, all people born in this world have become slaves of sin, and no one can fully choose to follow God, and avoid sin or receive salvation except by the grace of God. Therefore, there is no good man in the world. The people who claim that he is a good man will not obtain the redemption, because he knows less of his guilty conscience. The only way to obtain the redemption is to realize the salvation of his sins.

"On the journey, the old woman smuggled the cat along, intend for the cat to be left alone in the house for three days because she would miss her too much and she was afraid that it might brush against one of her gas burners and accidentally asphyxiate itself." (O'Connor 2014:2) The old lady pretends to be a good person all the time, but she can not help showing her hypocrisy. When the old lady sees the black children without pants, instead of feeling sorry for their poverty, she says, "Oh, look at the cute little pickaninny...Wouldn't that make a picture, now?...If I could paint, I'd paint that picture." (O'Connor 2014:3) Her pride in her artistic sense and pretended elegance make her like a good man." However, the guise or hypocrisy is itself a mistake, the grandma can not realize her sins, but continues to make mistakes pretending to be "a good

man." Her hypocrisy is absurd, her efforts in being perfect and gentle are also absurd. The author does not directly write her sin, even none of a word about it. On the contrary, she still shows how the grandma pretends to be gentle, which creates an image of an old brat and lets the readers find her sins themselves.

The second important theme is violence and redemption. According to O'Connor, the sinner himself will not voluntarily confess his guilt. Only by breaking his fixed ideas and pushing him to the edge of helplessness can he realize the harm of the sin caused by the weakness of human nature and obtain the grace of God. In this novel, the violence saves two main characters. The first is the old lady. She has claimed to be a true believer of God, and her religious beliefs are very strong. She tries to move "Misfit" in her own words, and let the "Misfit" pray for the salvation of God. But when the "Misfit" is going to kill her, she no longer believes in God, because God does not intend to save her from death.

Hiram and Bobby Lee returned from the woods and stood over the ditch, looking down at the grandmother who half sat and half lay in a puddle of blood with her legs crossed under her like a child's and her face smiling up at the cloudless sky.(O'Connor 2014:14)

This part tells that the violence saves the grandma, instead of writing plainly. O'Connor describes it implicitly. If readers have no religious knowledge, they will feel this death position is strange, even ridiculous. And readers may question why focus on the death position of the old grandmother. This is the characteristic of black humor, which hides deep meaning in the depths, allowing readers to find deep meaning behind plain words. What's more, in order to survive, she strokes "Misfit" like a mother, comforts him and encourages him. Although she does not escape from death in the end, she becomes a true believer and is saved by God through her death.

The second is the redemption of "Misfit". The "Misfit" is a miserable man. The indifference of the world and the unfairness of society make him, an honest boy, turn into a murderous thug. He has no faith, his life is no fun, and his heart is empty. Therefore, he kills people to find the fun of living and prove the existence of his own. After killing the old woman, an accomplice says: "Some fun!" Misfit says: "Shut up. It's no real pleasure in life." (O'Connor 2014:14) This shows that "Misfit" has realized that killing can not get the fun he wants, and he has to continue to flee in this boring world. He understands this truth, and his heart has been redeemed, and this redemption is also brought to him by violence. The novel concentrates on the description of morbid or abnormal characters, which also contributes to the formation of the theme, that is to say, the theme of A

Good Man Is Hard to Find is presented through the morbid or abnormal characters. With the unembellished language, the novel becomes a successful and representative one of black humor novels.

The main theme of *Catch-22* is alienation. It runs through the whole novel. First of all, the alienation of society and the powerful bureaucracy directly cause the alienation of character. The well-known *Catch-22* is formulated in the army, which asks pilots to absolutely obey orders. It means the officers can increase flight number without constraints, because the pilot must obey. In addition, madman is allowed to stop flying, but the madman will not admit that he is. People who admit would not be madmen, then they must continue to fly. This irrational and insane system deprives pilots of freedom, dignity and life. Besides, the interpersonal relationship is not harmonious.

The most obvious character of alienation is the protagonist - Yossarian. Yossarian originally is a kind and honest person, full of sense of justice. He has made a lot of meritorious military service, which promotes him to be a captain. However, when he witnesses all sorts of absurdity in the army, he starts to be mad and despairing, trying to escape from the mission and return home. As a famous officer in the war, Yossarian's alienation is purely caused by the darkness and injustice of the system. Facing the darkness of society, he does not try to solve it, but flee from it. This manner is contrary to the normal human nature, which is complete alienation.

Alienation, in fact, is the result of chaotic society. The alienated society does not have strict discipline, the alienated *Catch-22* lacks logic, and the alienated characters become abnormal. They all make the novel absurd. What differs from *A Good Man Is Hard to Find* is that *Catch-22* focuses more on the presentation of absurd facts. On the surface, the theme of alienation reflects the abnormality of various things, but actually, it satirizes and mocks the darkness and decay of the society. The absurd plots, preposterous rules, and ridiculous characters are combined with plain language to embody the characteristics of black humor.

Although the themes of these two works are different, they both embody the meaning of black humor novel: to expose the absurd reality. On the basis of reality, the authors turn their feelings into words, telling the story of despair and helplessness.

V. CONCLUSION

In view of the comparative study of black humor in *Catch-22* and *A Good Man Is Hard to Find*, this thesis is based on the Chinese and English versions of the two works and

a large number of literary criticism. The artistic style, language, writing technique, character and theme of the two works are systematically studied, readers will gain a more deep going understanding of the two works.

Through the study, this thesis has analyzed the similarities and differences of black humor in *Catch-22* and *A Good Man Is Hard to Find*. The similarities are: both of the two works use the language of comedy to describe the tragic stories. The language used by the authors is implicit and emotionless. Their main characters are "anti-heroes". Their differences are: the two works use different main writing techniques. *Catch-22* is good at using symbolism and repetition, *A Good Man Is Hard to Find* is good at using metaphor. In addition. The main theme of *Catch-22* is alienation, while *A Good Man Is Hard to Find* focuses on original sin, violence and redemption.

Obviously, the above findings of this study are of remarkable relevance to the comparison between the two works. These findings may have the following theoretical and experimental implications: There is still insufficient research on the similarities and differences between the two works. This thesis only mentions three points of similarities and two points of differences. But in fact, it also has more similarities and differences between them ready to be explored.

At the same time, however, this study also suffers from certain limitations such as the following: (1) Due to the limitation of space and time and the writer's ability, the theoretical exploration of the comparison between *Catch-22* and *A Good Man Is Hard to Find* is still not adequate enough, and needs to be further expanded and improved in content and form in the future. (2) Due to the lack of conditions and resources, the comparative illustration of the structure in terms of black humor between *Catch-22* and *A Good Man Is Hard to Find* cannot be satisfactorily studied, and future studies should explore it.

ACKNOWLEDGEMENTS

I would like to express my gratitude to those who have given me much help in various stages of the completion of the thesis, though the responsibility of its shortcomings rests with me alone.

Firstly, my deepest gratitude goes first to my supervisor, Lecturer Yang Yanchun, whose conscientious tutoring, insightful comments and constructive criticisms have contributed greatly to the completion of this paper. During the time when this thesis was written, she provided me with useful suggestions and recommended to me some essential references. Her profound insight into literature and her effective guidance have enlightened me. When I

finished my writing, she devoted much of her time to reading it and making suggestions for revision. Her support and encouragement deserve more thanks than I can find words to express.

I am also greatly thank to all my respectable teachers who have provided me with basic knowledge of literature studies, which is the foundation for my research,

Last but not least, a special note of thanks to my father and mother, whose love and care are the sources of my strength.

To all those mentioned above, and to any other people whom I may have failed to mention, I extend my sincere thanks.

REFERENCES

- [1] Bayley, N. 1998. York Notes on *Catch-22* [M]. London: Longman Limited.
- [2] Heller, J. 2014. *Catch-22* [OL]. <https://wenku.baidu.com/view/61df7a7ecc79316764ce1510.html> (accessed 15/03/2021).
- [3] O'Connor, F. 2010. *A Good Man Is Hard to Find* [M]. Boston: Houghton Mifflin Harcourt.
- [4] Chen, Qiuling. 2018, Metaphor Interpretation in *A Good Man Is Hard to Find* [J], *Overseas English*(5): 183-184.
- [5] Cheng, Xilin. 2006, scattered, absurd, humorous —— The narrative Art of *Catch-22* [J], *Foreign Literature* (4): 43-48.
- [6] Ding, Xiangyu. 2015, The subject study of alienation in Joseph Heller's *Catch-22* [D], master's thesis. Qufu: Qufu Normal University.
- [7] Heller, Joseph. 1961 / 1981, *Catch 22* (*Catch-22*) [M], translated by Wu Bingqing. Nanjing: Yilin Publishing House.
- [8] Liao, Shuhan. 2019, "Black humor" and artistic performance of *Catch-22*, [J], *Journal of Yancheng Normal University* (3): 79-81.
- [9] Shen, Yuting. 2014, on Black Humor in O'Connor's Short Stories [D], master's dissertation. Hefei: Anhui University.
- [10] Yang Yan (Yang, Yan), 2012, Study on the alienation of *Catch-22*[D], master's thesis. Xiangtan: Hunan University of Science and Technology.

Knowledge and Impact of Heads of Schools Administrative Training on School Financial Management in Public Secondary Schools in Mbeya Rural District, Mbeya Region, Tanzania

Thadeo Chundu*, Lucas Mwahombela, Brown Gwambene

Department of Education, University of Iringa, Iringa, Tanzania

*Corresponding author Email: kakachundu@gmail.com

Received: 15 Aug 2024; Received in revised form: 15 Sep 2024; Accepted: 22 Sep 2024

©2024 The Author(s). Published by TheShillonga. This is an open-access article under the CC BY license
(<https://creativecommons.org/licenses/by/4.0/>)

Abstract

School management are responsible for demonstrating accountability, transparency and delegating financial responsibility. The head of school is also responsible for income, expenditure, book-keeping, and other accounting works. This study examined the knowledge and impact of heads of schools administrative training on school financial management control in public secondary schools in Mbeya rural district. The primary data were collected using questionnaire and interview guide from 66 respondents. The sample was chosen from each selected secondary school teachers using simple random sampling technique and head of school using purposive sampling techniques. The data were analyzed using Statistical Package for Social Science (SPSS ver. 20) for quantitative data and content analysis for qualitative data. The study results revealed that, heads of schools have knowledge about procedures of getting school funds as planned. During making school budget staff members are involved to make decision as the way of disseminating knowledge and skills on the subject matter. The study recommend that school administration should promote teamwork with all essential stakeholders particularly making decisions about various school budgetary issues. Government should ensure that heads of schools mainly in most public secondary schools undergo effective training about proper management of school financial resources for the sake of general school development.

Keywords— Administration, Budget, Finance, School Management, Training

I. INTRODUCTION

In a modern world, the educational sector has experienced a drastic increase in school management responsibilities with the rise of technology applications, abiding by new legislations and the pressure of the global economy (Ezeh & Ogara 2020). School heads play generous roles in improving the quality of secondary school education around the world (Robina et al., 2018). Besides their tedious responsibilities as school heads, they also work as financial managers in their respective schools (Radzi et al., 2015). The role of school heads as financial managers has changed meaningfully from the earliest time to the modern era (Espinosa, 2018; Rupia & Musa, 2022).

In Sub-Saharan Africa, educational institutions require proper management of financial resources for survival (Wasiche, et al., 2018). Success or failure of any

educational institution in terms of quality education provision rests highly on the effective management of financial resources leading to sustainable development (Phylisthers et al., 2018). School heads must maintain, financial management effectiveness, efficiency, equity, responsiveness, relevance, reflexivity focusing on sustainability, eventually ensure the quality teaching and the learning processing secondary schools (Amos et al., 2021). Most developing countries in Sub-Saharan Africa have a shortage of head of schools with well-honed management skills since are often not well prepared for tasks they must undertake and is neither given sufficient training to perform these tasks (Marando et al., 2022). The lack of financial training to the head of schools leads to massive corruption and financial mismanagement, whereas the lack of financial resources leads to the retrenchment of educators. Such as poor performance by head of schools is

located in the schools themselves, in the match of goals, resources and expertise that enact and deliver educational programs (Edmund & Lyamtane, 2018).

Poor financial management in most of the African schools is one of the major reasons that prevent effective management of schools due to overspending or under spending which can lead to misappropriation and mismanagement of school funds (Amirizei & Nwachukwu, 2018). Incompetency in procurement, inadequate and irregular auditing, and lack of accounting supportive documents and records and inability to prepare end year financial statements are some of the financial problems facing school administration in Africa (Ezeh & Ogara, 2020). Poor financial management lead to derailing of school's operations such as procuring teaching materials, remunerating teachers, organizing and executing academic tours, among others (Rupia & Musa, 2022). School management and school heads are responsible for demonstrating accountability and transparency and delegating financial responsibility. It becomes imperative schools to consider financial management in order to enhance their performance and mitigate exposure to financial risks (Edmund & Lyamtane, 2018).

In Tanzania context, the work done by the government through the National Framework for teachers of 2020 which emphasized training of teachers and heads of secondary schools on financial management and other administrative and working skills was of great help. (Ministry of Education, 2020). Despite that, yet the financial management skills deficiency poses a challenge to head of school in financial management in public schools (Edmund & Lyamtane, 2018). Any teacher can be appointed as head in provided he or she has completed a certain number of years of teaching. Such head of school are required to ensure acquisition of resources, allocation of resources and evaluation of the implementation of plans (Lacsa, 2022). Each public school has a savings or current bank account and it is only the head of school that is eligible to carry out bank transactions. Head of school is expected to repair the premises, clean the school, and manage energy and office costs (Amos et al., 2021). Apart from income and expenditure, the head of school is also responsible for income and expenditure, book-keeping, and other accounting work regarding. Internal audit is also undertaken by the head of school in the school (Radzi, Ghani, Siraj & Afshari, 2018).

The school administrators like heads of secondary schools must have financial management skills, learning skills, analytical thinking skills, creative thinking skills, problem solving skills, communication skills, teamwork skills, technological and digital skills, human relation skills and

moral skills, (Sonsaard & Darbavasu, 2019). The capability of the heads of secondary schools in terms of skills, knowledge and training in matters related to finance as a factor of financial management preparedness is the main social concern (Espinosa, 2018; Ezeh & Ogara, 2020; Rupia & Musa, 2022). Despite the efforts put in place, heads of schools continue to encounter challenges in the management of school funds. This can be attributed to the lack of financial training among heads of schools or even the absence of school bursars. The ordinary teachers in respective schools have been acting as school bursars. Financial management capability may prevail when the head of public secondary schools has the knowledge and understanding of the basic processes involved in managing the accounts of schools, the budgeting process and controls that are necessary to ensure that the schools funds are not mismanaged. Thus, this paper assesses the knowledge and impact of heads of schools administrative training on financial management in public secondary schools in Mbeya Rural District.

II. LITERATURE REVIEW

Heads of secondary schools needed training in various management areas which included financial management, academic management, office management, human resource management and general management (Amos, Ephrahem & Africanus, 2021). Gender wise comparison indicates that male heads needed more training than female heads in various management areas. It was also found that heads of secondary schools working in Rawalpindi district required more training as compared to heads of secondary schools working in Islamabad. Rupia & Musa, (2022) pointed out that complexity of acquiring and managing funds for the operation of the school and the consequences of the correct use and control of the available funds demand particular knowledge and skills from the Head as s/he is the person responsible, according to the law. At the same time, a special computer programme for the detailed recording, filing and control of the entire school financial management task is necessary. The Head should be computer literate, that is, in a position to know how to work and control the system. The discussion above leads to the conclusion that the Head teachers need specialized and updated training on school financial management issues, a fact that they –themselves- discover in practice.

According to Amos, Ephrahem & Africanus, (2021), financial management skills such as mobilizing school funds, monitoring, evaluation of budget and auditing skills were essential for school financial management. The study also found that most of the school heads, bursars, and clerks possess insufficient skills in financial management

as school managers. Other financial management challenges were a shortage of school funds, poor monitoring, evaluation and auditing of school finances. The study suggests strategies such as capacity building among the school heads, bursar and clerks. Also, decentralization of financial decision making, relevant school mission and vision, enhance effective monitoring, evaluation and auditing of financial report as strategies for improving school heads' financial management skills. Finally, this study recommends that school heads as prime financial managers of schools should demonstrate a professional code of conduct with high ethical standards by being honesty and trustworthiness in financial management to ensure quality education provision in secondary schools.

Wairima & Nasieku, (2019) revealed that financial competence, budget control and auditing had statistically significant effect on financial management effectiveness in secondary schools. The study concluded that these factors had a statistically significant effect on financial management effectiveness in secondary schools. The study recommended that education regulators should ensure that accounting officers have adequate knowledge and skills necessary to manage school funds through organizing periodic relevant training on financial management for the principles. Budgeting should be done objectively with proper forecasts involving all the stakeholders. Every secondary school should have an operational budget in place with strong controls in place. Auditors should be independent and not have personal interests when doing their work. There should be more auditors to enhance frequent auditing of schools as the current number is seriously inadequate. Principals and accounts clerks/bursars should go for frequent training on auditing techniques. The study findings will help the government as policy makers and financiers of institutions in strengthening financial management policies and procedures to ensure that the objective of financial management is achieved and also enhance financial control measures. Also, will help schools' management to improve their financial management.

The study of Nwafukwa & Aja, (2015), revealed that secondary school principals require budgetary skills for financial management for the implementation. Financial management skills are imperatives for in secondary school principals for the implementation of the education programme. This is so because, the skills will enable them have knowledge on how to budget, audit, report, account for all monies meant for the school activities implementation. Also, equally help them to check on regular basis financial fraud that is ravaging educational system. If this is done, monies allocated to Basic

Education Boards will properly be utilized so that the aims of introducing the free education programme will be achieved. The study recommended that among others that government should organize workshops and seminars for junior secondary school principals to update their knowledge more on financial skill management.

Ezeh & Ogara (2020), revealed that principals fund management had positive effect on the coordination of schools and budget control had positive effect on the provision of instructional materials in schools. The study concluded that poor financial management is one of the major reasons that derail effective management of schools due to overspending or under spending which can lead to misappropriation and mismanagement of school funds. In the same breadth, it is pointed out that incompetency in procurement, inadequate and irregular auditing, lack of accounting supportive documents and records and also inability to prepare end year financial statements are some of the financial problems facing school administration in Education zone. It was recommended that secondary school financial management policy should consider funding of instructional materials as a pre-requisite towards realization of educational goals in schools. Finally, budgetary plans should be made and strictly adhered to in terms of implementation.

Marando et al., (2022), revealed that the heads of schools enhance the use of decision making on financial management skills in their schools as they were trained but they need to improve the use of the skills to involve all staffs. The study concluded that the heads of schools attended the program enhances the use of decision making on financial management skills in their schools as they were trained in but only, they need to improve the use of the skill to involve both staffs means teaching staff and non-teaching staff on decision making on financial management. The study recommends that training shall be provided to both school managers and heads of schools to enable them to achieve school goals of teachers and institutions. Ugiriwabo, Tuyishime, Nizeyimana & Ntahobavukira, (2023) revealed that school funds are well used to avail enough teaching aids, to train teachers in different domains, to hire qualified teachers if in need and many more which yields in improving students' outcomes. Also, indicates a positive relationship between financial management practices and secondary schools' academic performance. The study identified poor academic performance in National examination of students in day schools. There are other students' related factors which can positively or negatively affect students' achievements. Courses related to financial managements should be integrated in schools for pre-service teachers but also the

in-service training need more attention for school to be effectively managed.

III. RESEARCH METHODOLOGY

The target population involved 6 public secondary schools within the selected 5 wards in Mbeya Rural District. The study employed purposive sampling and simple random sampling whereby each person has an equal chance of being selected and the required sample size of respondents was purposively and proportionally selected from each selected secondary school. The sample size involved 66 respondents. The study employed the concurrent research design which is also called Convergent research design as a framework to guide the fact under study. Qualitative data obtained were analyzed thematically and quantitative data were analyzed using frequencies and percentages and presented in tables using Statistical Package for Social Science (SPSS version 20)

Findings of the Study

Knowledge and Skills of Heads of Schools in Effective Financial Management

Training of head of schools on financial management leads to effective implementation of school activities. Training

helps school management to follow guidelines of financial managements, by involving others in financial matters, recording all expenditures as required they limit unnecessary costs and use school funds in way that is productive. Training on financial issues leads head of schools to use money efficiently to improve the school in terms of infrastructures, buying scholastic materials, building laboratories which in turn create conducive learning and teaching environment. Finally, effective financial management practices in schools yields students, academic performance in the same school.

Knowledge on Procedures of Getting Funds

The study findings (Table 1) show knowledge and skills of heads of public secondary schools about financial management on procedures of getting funds. In this matter 50% agreed about the subject matter that heads of secondary schools have knowledge about procedures of getting school fund as planned.

Table 1: Procedure of Getting Funds and Financial Assistance

	Frequency	Percent
Strongly agree	13	19.7
Agree	33	50.0
Moderately agree	15	22.7
Strongly disagree	5	7.6
Total	66	100.0

It was mentioned by one respondent that:

“Most of the heads of schools in public secondary schools are aware of financial management procedures, statutory instruments and operational manuals that are used in schools due continues training and induction in financial management matters which are offered to them except the new promoted heads of schools face difficult just for few days. Circulars pertaining to new procurement procedures

are yet in schools which are to be implemented” (Interviewee, July, 2024).

Knowledge on Budget Utilization Procedure

The study findings revealed that, out of 66 respondents, 35 respondents which is equal to 53.0% strongly agreed that heads of schools have knowledge and skills on school budget utilization procedures while 13 respondents equal to 19.7% agreed and 15(22.7%) disagreed about the subject matter (Table 2). This implies that heads of schools have strong knowledge and skills on school budget utilization tactics which open a room of performing school duties related to finance clearly.

Table 2: Procedure of manageable utilization of budget

	Frequency	Percent
Strongly agree	35	53.0
Agree	13	19.7
Moderately agree	3	4.5
Disagree	15	22.7
Total	66	100.0

One of the respondents said that;

“The mismanagement of funds provided by government meant for the education of children is one of the causes of the deterioration of standard of education in some schools if the heads of schools do not have knowledge on how to utilize it properly. It is regrettable that government funds provided for the welfare of students being embezzled by some heads of schools and district financial manager. The future and academic performance of students

depends on the sensible knowledge towards managing scarce financial resources” (Interviewee, July, 2024).

Knowledge on Records Keeping

The findings from (Table 3) implies that heads of public secondary schools have strong knowledge and skills on how to keep school financial records since they are practising every day. The statement is proved by the study findings that, out of the 66 respondents interviewed 53 respondents which is equal to 80.3% strongly agreed on the subject matter.

Table 3: Procedure of maintaining records, income, expenditures and verification

	Frequency	Percent
Strongly agree	53	80.3
Agree	1	1.5
Moderately agree	9	13.6
Disagree	3	4.5
Total	66	100.0

One interviewee made the following remarks:

“The head of schools were inducted on financial management soon after the directives that school funds will be directed to the school accounts. Always district financial officers assist heads of schools in financial management strategies whenever they come for monitoring. In each season of the year heads of schools are trained on

school financial management issues” (Interviewee, July, 2024).

Knowledge on Managing Petty Cash and Monthly Expenditure

Out of 66 respondents, 32 respondents equal to 48.5% agreed while 17 respondents which is equal to 25.8% strongly agreed on the subject matter that heads of schools have knowledge on managing petty cash as well as performing monthly expenditure in an organized manner.

Table 4: Managing petty cash fund/monthly expenditure bills

	Frequency	Percent
Strongly agree	17	25.8
Agree	32	48.5
Moderately agree	15	22.7
Disagree	2	3.0
Total	66	100.0

One of the respondents asserted that;

“I always use knowledge and directives given during training to use petty cash and daily school expenditure. The simple knowledge which I have, I use it to ensure school expenditure is performed well and organized according to the school financial plan”. (Interviewee, July, 2024)

The findings in (Table 4) implies that heads of schools have strong knowledge and skills about school budget utilization tactics which open a room of performing well concerning school duties. The heads of public secondary schools have strong knowledge and skills about keeping the school financial records and taking care all daily financial activities.

The study is in line with Amirizei & Nwachukwu, (2018), that heads of secondary schools need training in various management areas which included financial management, academic management, office management, human resource management and general management. Amos et al., (2021), revealed that financial management skills such as mobilizing school funds, monitoring, evaluation of budget and auditing skills were essential for school financial management. The study also found that most of the school heads, bursars, and clerks possess insufficient skills in financial management as school managers. Decentralization of financial decision making, relevant school mission and vision, enhance effective monitoring, evaluation and auditing of financial report as strategies for improving school heads' financial management skills.

Merano, (2023) revealed that most school heads are middle-aged with low family income and lack training in school financial management. They manage various financial resources, with small enrolment and teacher populations. In the area of budgeting, accounting, procurement, and asset management, most school heads are competent, but few are less competent. In this matter family income and number of attended trainings are related to asset management competence. The study recommends that school heads attend training and seminars related to school financial management, involving school planning teams and community involvement. Effective management of school financial resources is crucial for financing all school activities.

The study also is in line with Msoka, Muteti & Lyamtane, (2020) who revealed that major study heads of schools implemented the capitation grants guideline with little adjustments to suit specific needs of the school by using

little knowledge acquired during training. The study also revealed that, in some cases heads of school were not effective in managing capitation grants due to the presence of many challenges hampering their management of the grants. The study recommends that the government should timely disburse enough capitation grants to specific school equivalent to the number of student's enrolment.

Better school financial management skills and knowledge bring other benefits, such as better decision making, ability to outline specific areas for improvement, ability to examine the progress of achieving set targets, timely program evaluations, greater budgetary control and improved administrative efficiency and mandated reporting (Allison, 2015). Comprehensive financial planning and records are part of school data that can be used to ensure that resources are being used productively. Producing the reports may also facilitate better communication between school leaders and personnels, as well as parents and the wider local community, especially in regards to the use of the school's revenue, which in turn increases the transparency of education information. Therefore, an appropriate school financial management is essential to support education institutions to achieve their educational objectives and is essential in improving the quality of education in an institution (Ephrahem & Africanus, 2021).

According to Wadasen, (2024) school financial management involves the planning and implementation of a financial plan, accounting, reporting, and the safeguarding of assets from loss, damage, and fraud. In order to perform such tasks efficiently and effectively, it is important that school heads have professional capabilities which may include fiscal or financial management skills. The school head's efficient and effective management of financial or material resources is considered one significant factor in the attainment of institutional objectives (Espiritu 2020).

Impact of Heads of Schools Administrative Training on Financial Management

Power and Authority Delegation to Staff Members

The study findings revealed that out of the 66 respondents interviewed 28(42.4%) agreed and 19 (28.8%) strongly agreed about the subject matter (Table 5). The results imply that heads of public secondary schools in Mbeya Rural District have culture of delegating other staff members on school financial management activities as the way of expanding training skills since they may become head of schools in the future time.

Table 5: Delegation of power and authority to staff members on financial matters

	Frequency	Percent
Strongly agree	19	28.8
Agree	28	42.4
Moderately agree	17	25.8
Disagree	2	3.0
Total	66	100.0

It was reported by one respondent that;

“Training on school financial management gives me a direction to delegate some financial activities to teachers who are good and cannot mismanage the school fund because other staff members are not good in school financial issues they can make fraud any time. Delegation allows me to perform other school duties in a

good and organized manner”.
 (Interviewee, July, 2024)

Involving School Members on Making School Budget

During making school budget in public secondary schools in Mbeya Rural District, other staff members are involved as the way of disseminating knowledge and skills. This is proved by the study findings in (Table 6) on which out of 66 respondents 23(34.8%) strongly agreed and 26(39.4%) agree about the subject matter.

Table 6: Involving Staff Members on Making School Budget from Lowest Level

	Frequency	Percent
Strongly agree	23	34.8
Agree	26	39.4
Moderately agree	8	12.1
Strongly disagree	9	13.6
Total	66	100.0

The findings converge to the respondents who were interviewed about the subject matter by disclosing that;

“Heads of schools always allow and involve teachers to participate in budgeting process. When teachers attend the budgeting process, it helps to implement the financial plan in a peaceful and transparent manner” (Interviewee, July, 2024).

Empowering Staff Members on Financial School Activities

Out of 66 interviewed respondents about the subject matter 50(75.8%) strongly argued that staff members are strongly empowered on school financial management activities and 13(19.7%) agreed on the same (Table 7).

Table 7: Empowering staff members on financial school activities

	Frequency	Percent
Strongly agree	50	75.8
Agree	13	19.7
Disagree	3	4.5
Total	66	100.0

One interviewee made the following remarks;

“I have experienced that involving staff members in school financial management helps to overcome unnecessary mistakes and perform better in controlling school financial procedures. So, heads of schools always take an advantage of involving staff members in each section of financial implementation as an advantage of improving performance and helping teachers to have knowledge even if not wider about school financial management”. (Interviewee, July, 2024)

Table 8: Opportunity to Staff Members in Income and Expenditures

	Frequency	Percent
Strongly agree	22	33.3
Agree	24	36.4
Moderately agree	20	30.3
Total	66	100.0

It was mentioned by one respondent that;

“In my school teachers are involved in discussion about school financial matters and its implementation during internal meeting. Involving teachers in school financial management issues helps heads of schools to facilitate the financial tracking and do better in implementation process”. (Interviewee, July, 2024)

Table 9: Solving challenges on financial issues

	Frequency	Percent
Strongly agree	32	48.5
Agree	30	45.5
Disagree	4	6.1
Total	66	100.0

One interviewee commented that;

“Training which was offered helps to overcome simple challenges which come across even if not all challenges can be solved by the knowledge which I have. Is good for the education leaders to provide and facilitate training to be able to solve all emerging financial challenges because investing in comprehensive training

Opportunity to Staff Members in Income and Expenditures Procedures

Heads of public secondary schools in Mbeya Rural District have an ability of ensuring equal opportunity to staff members about financial management on the matter of income and expenditures which helps to disseminate knowledge and skills in a wide range. The argument of proved by the study findings of 22(33.3%) of the respondents strongly agreed and 24(36.4%) respondents agreed about the subject matter (Table 8).

Solving Different Challenges on Financial Issues

Knowledge and skills heads of public secondary schools have about financial management issues helps to enhance and handle daily financial challenges which go simultaneously in solving the emerging problems. The argument is proved by the respondents whereby out of 66 interviewed 32(48.5%) strongly agreed and 30(45.5%) agreed about the subject matter (Table 9).

programs which focus on financial management skills will enhance our work performance”. (Interviewee, July, 2024)

During making school budget staff members are involved to make decision as the way of disseminating knowledge and skills on the subject matter. Head of public secondary school have culture of delegating other staff members on school financial management activities as the way of expanding training skills since some of them they may

become head of schools in future basis in which the experience obtained will enhance them to pursue their activities in strategic manner.

Head of public secondary school have an ability of ensuring equal opportunity to staff members about financial management on the matter of income and expenditures which helps to widen range of understanding the funds utilization procedures. Marando et al., (2022) revealed that the heads of schools enhance the use of decision making on financial management skills in their schools as they were trained but they need to improve the use of the skills to involve all staffs. Heads of schools attended the program enhances the use of decision making on financial management skills in their schools as they were trained in but only, they need to improve the use of the skill to involve both staffs mean teaching staff and non- teaching staff on decision making on financial management (Ugiriwabo, Tuyishime, Nizeyimana & Ntahobavukira, 2023).

The study by Espinosa, (2018), revealed that financial management practices of the school heads help schools to draw up a budget, set objectives, identifies the sources in terms of human resource, time allocation, teaching and learning materials and appropriate costing. To enable the principals, manage financial resources more responsively to the performance and instructional needs of the teachers, it would be very crucial if school leaders like them get a continuous boost of their own professional development by acquiring relevant financial skills and abilities required to effectively manage resources in the school.

According to Espiritu, (2020) the indicators under accounting and budgeting are categorized as best practices of the school heads in their financial management which includes collaboration with school focal persons for budgetary planning and keeping all financial records in safe place. Delayed release of school monthly cash advances, fund insufficiency, lack of adequate experiences and trainings, numerous bookkeeping tasks, unorganized recordkeeping, frequent changing of policies, absence of permanently stationed bookkeeper, and adherence to complex laws and policies are identified as the most common challenges encountered by the school heads in their financial management. Heads of schools should make sure that all stakeholder sectors are represented during any budget allocation activities. In this matter familiarization of simplified fund management systems by reviewing different mechanisms, procedures and standards for the utilization, monitoring and recording of school funds is vital strategy.

Terhile & Iuh, (2014) revealed that school finances are used for the day-to-day running of the organization. It is of

paramount importance to note that every school manager or head teacher needs to plan the school budget either termly or annually to achieve optimal school objectives and for the effective management of finance. It is solely the responsibility of the school administrator to see to it that the necessary funds regularly solicited for, meet the demands of their schools. The availability of such funds helps to handle school projects which is going a long way to enhance better learning and teaching. Azzahra & Safira, (2022) revealed that school financial management are acknowledged as important skill to acquire for head of schools in secondary schools. Appropriate school financial management is important to ensure school funds are spent efficiently and effectively to support the provision of quality education services. School financial management should incorporate values such as leadership, self-sufficiency, and proper supervision of resources that are necessary to develop schools, supervise teachers and education personnel, as well as effectively addressing future challenges.

According to Wadasen, (2024) heads school should take advantage of the presence of school board to help improve financial planning, as well as collaboration among stakeholders. School board can serve as a productive partner of the school head in managing the finances of the school as well as engaging other external stakeholders for support. They may also be able to provide insights in decision making, as well as help in supplementing the limited funds of the school. Moreover, in order to enhance effective participation in decision making, school heads should develop a financial management committee for creating autonomy in financial decision making and support school heads in financial management.

IV. CONCLUSION

Effective financial management in secondary schools is solely depends on huge essential knowledge and skills that most of heads of schools have equipped with. The findings indicated that, most heads of schools in most of public secondary schools in Mbeya rural district have strong knowledge and skills about school budget utilization tactics which open a road of performing well concerning various school duties, not only that but also, keeping the school financial records and taking care of all daily financial activities which is a good thing. Although in some of the other areas, essential skills to most of the school heads, bursars and clerks need to be incorporated, these skills include: decentralization of financial decision making, relevant school mission and vision, enhance effective monitoring, evaluation and auditing of financial reports good for improving school heads financial

management skills. On the other side, in terms of impact of heads of schools administrative training on financial management, it's evidenced that, if staff members during making school budget are fully involved to make decisions as the way of disseminating knowledge and skills on the subject matter served as a good asset, since they are the one to take positions as future heads of schools, thus such an experience will enhance them to perform their duties well and in strategic manner. Also, the ability that most heads of public secondary schools have in ensuring equal opportunity to staff members about financial management on the aspect of income and expenditure functions as an essential tool to enhance widening range of understanding the funds utilization procedures.

RECOMMENDATIONS

Based on the findings, this study recommends that: head of schools should involve their staff members in budget planning and implementation and adhere firmly to budget plans in the school. This must go a long way to improve the standard and quality of effective secondary school administration. School management should ensure effective management of all financial resources available in schools in order to be able to utilize well the allocated budget considering the needs in a particular school. Also, school management should ensure essential skills are provided to most of the school officials including the school heads, bursars and clerks which could function as an essential tool to enhance widening of understanding for effective funds utilization process. Seminars, conferences and workshops on financial management practices should be made compulsory for secondary school heads and school bursars by the Ministry of Education as well as the Secondary Schools Board to enhance their skills in financial management and finance for effective administration of the public secondary schools. The audit section of the Ministry of Education should ensure that, the heads of schools recognize the autonomy of the internal audits of their schools and allowed to perform their duties without undue interference and restriction.

ACKNOWLEDGEMENTS

This work was supported by the Chundu family members. I am grateful to my Father Dominic Chundu, my Mother Veneranda Choma, my wife Veronica Teketela and my children for their untiring support. Also, I would like to thank the Vice Chancellor and Head of Department of Education of the University of Iringa for supporting this study, as well as all respondents who participated in this study during data collection.

REFERENCES

- [1] Amirizei, M & Nwachukwu, P. O., (2018). Principals Fund Management Strategies for Effective Administration of Public Secondary Schools, *International Journal of Scientific Research in Education*, 11(3): 545-576.
- [2] Amos, O, Ephrahem, G & Africanus, A. B., (2021). Effectiveness of School Heads' Financial Management Skills in Provision of Quality Education in Secondary School, *International Journal of Education and Research*, 9(3): 195-204.
- [3] Edmund, S & Lyamtane, E., (2018). Effectiveness of the Heads of Schools in Managing Financial Resources in Public Secondary Schools in Moshi Municipality, *International Journal of Scientific Research and Management (IJSRM)*, 6(5): 305-316.
- [4] Espinosa, F.M., (2018). Financial Management Practices of School Heads: Teachers' Perspectives, *Skyline Business Journal*, 13(1): 33-44.
- [5] Ezech, C. R & Ogara, P. I., (2020). Impact of Financial Management on Effective School Administration in Enugu Education Zone, *British International Journal of Education and Social Sciences*, 7(6): 1-15.
- [6] Marando, E.S. Lyamtane, E & Muteti, C., (2022). Contribution of CSSC Training Program in Enhancing Decision for Catholic Sponsored Secondary School Heads in Musoma Diocese Mara Tanzania, *European Journal of Training and Development Studies*, 9(3): 1-15.
- [7] Ministry of Education, (2020). National Framework for Teachers Continuous Professional Development. Ministry of Education, Science and Technology. Tanzania.
- [8] Phylisthers, M.D, Mulwa, A.S. & Kyalo, D.N., (2018). Financial Management for Effective Schools: Bridging Theory and Practice through Competency Development among Secondary School Principals in Kitui County, Kenya, *International Journal of Education and Research*, 6(11): 1-18.
- [9] Radzi, N. M., Ghani, M. F. A., Siraj, S., & Afshari, M. (2015). Development of an effective School-based financial management profile in Malaysia: The Delphi method application. *Education Research and Reviews, Academic Journals*, 10(12), 1679-1694.
- [10] Radzi, N. M., Ghani, M. F. A., Siraj, S., & Afshari, M. (2018). Financial Decentralization in Malaysian Schools: Strategies for Effective Implementation. *MOJES: Malaysian Online Journal of Educational Sciences*, 1(3): 20-32.
- [11] Robina, W.N, Bernard, M & Jack, A., (2018). Financial management challenges facing newly appointed head teachers in public day secondary schools in Siaya Sub County, Kenya. Jaramogi Oginga Odinga University of Science and Technology, *International Journal of Novel Research in Education and Learning*
- [12] Rupia, C & Musa, M. C., (2022). Preparedness of School Heads to Manage Financial Resource in Public Secondary Schools in Kwimba District, Mwanza, Region, Tanzania, *Journal of Research Innovation and Implications in Education*, 6(3): 201-208.
- [13] Sonsaard, S. & Darbavasu, S. (2019). Administrative skills of modern school administrators: Future academy, UK

International conference journal on business sustainability and innovation.

- [14] Wasiche, N. R, Mwebi, B & Ajowi, J. (2018). Financial Management Challenges Facing Newly Appointed Head teachers in Public Day Secondary Schools in Siaya Sub County, Kenya, *International Journal of Novel Research in Education and Learning*, 5(2): 29-58.
- [15] Wairima, S.N & Nasieku, T., (2019). Factors Affecting Financial Management Effectiveness in Public Secondary Schools in Kenya: A Case of Gatanga Sub-County. *International Journal of Management and Commerce Innovations*, 6(2): 123-143.
- [16] Nwafukwa, O.P & Aja, S.N., (2015). Financial Management Skills Required of Principals for the Implementation of the Universal Basic Education Programme in Junior Secondary Schools in Ebonyi State of Nigeria. *International Journal of Education, Learning and Development*, 3(5): 31-37.
- [17] Lacsá, R.C., (2022). Practices and Challenges in School Financial Resource Management Implementation in the Public Secondary Schools in Laguna. *International Journal of Research Publications (IJRP.ORG)*, 104(1): 781-796. doi:10.47119/IJRP1001041720223546
- [18] Shahzad, M.A, Kashif, N.U & Ali, M.Q., (2019). Financial Managerial Skills of Head and Accelerated Secondary Schools Performance in District Sahiwal. *Global Regional Review (GRR)*, 4(2): 272-279. [http://dx.doi.org/10.31703/grr.2019\(IV-II\).29](http://dx.doi.org/10.31703/grr.2019(IV-II).29)
- [19] Ugiriwabo, P, Tuyishime, D, Nizeyimana, G & Ntahobavukira, B., (2023). The Impact of Financial Management Practices on Academic Performance in Day Schools of Kicukiro District in Rwanda. *The Cradle of Knowledge: African Journal of Educational and Social Science Research*, 11(3): 119-128. <https://dx.doi.org/10.4314/ajessr.v11i3.3>
- [20] Ngigi, S.K & Tanui, P.J., (2019) Principals' Financial Management Practices, Educational Administration and Performance in Selected Secondary Schools in Kenya, *Nairobi Journal of Humanities and Social Sciences* 3(1): 15-25.
- [21] Mafugu, T, Njini, S & Abel, S., (2022). A Review of Financial Management Practices in Selected Secondary Schools in the Kwekwe District of Zimbabwe. *International Journal of Sciences and Research*, 78(1): DOI: 72-86. <https://doi.org/10.5281/zenodo.6654598>
- [22] Omollo, O.H, Atieno, K.B & Onyango, Y.J.M., (2016). Effects of Financial Budgeting in the Management of Public Secondary Schools in Uriri Sub-County, Migori County, Kenya. *European Journal of Research and Reflection in Educational Sciences*, 4(2): 1-7.
- [23] Kenneth, A, Hope, B.T, Barieere T & Nkporon A.J., (2023). Financial Management Practices by Principals for Administration of Public Secondary Schools in Rivers State. *International Journal of Research Publication and Reviews*, 4(1): 724-733.
- [24] Saqee, M.R, Sittar, K & Munawar, S., (2022). Impact of Leadership Training on administrative Performance of Head Teachers. *Global Educational Studies Review*, 7(1), 336-346. [https://doi.org/10.31703/gesr.2022\(VII-I\).33](https://doi.org/10.31703/gesr.2022(VII-I).33)
- [25] Owchondah, S.N., (2020). Budgeting procedures and principals' financial management of public secondary schools in Rivers State, *British International Journal of Education and Social Sciences*, 7(2); 59-68
- [26] Yizengaw, J.Y & Agegnehu, M.A., (2021). Practices and challenges of school financial resource management implementation in Bahir Dar City administration of Ethiopia: A comparative study between government and private secondary schools, *Cogent Education*, 8(1), <https://doi.org/10.1080/2331186X.2021.1884340>
- [27] Okeke, I.N & Okaforcha, C.C., (2020). Principals' auditing practices as predictors of teachers' job involvement in secondary schools in Anambra State. *African Journal of Educational Management, Teaching and Entrepreneurship Studies*, 1(1): 1-7.
- [28] Ekaette, S.O, Akeke, M.N.G & Ekpenyong J.A., (2019). School finance management structure and effective delivery of 21st century secondary education in Cross River State. *Global Journal of Educational Research*. 8(1): 71-79
- [29] Green, S & Ferry, L., (2021). The impact of accounting disturbances on organizational micro practices in the schools' sector in England. *Accounting, Auditing and Accountability Journal*. 5(49): 43

The Effect of Human Resources Quality and Work Commitment on Employee Performance of Regional Drinking Water Company Mual Na Tio Tarutung

Niarita Bukit¹, Holmes Rajagukguk², Samsul Hutasoit³

¹ Sisingamangaraja XII Tapanuli University, Indonesia
Email: Hanny@mikroskil.ac.id

² Sisingamangaraja XII Tapanuli University, Indonesia
Email : holmesrajagukguk540@gmail.com

³ Sisingamangaraja XII Tapanuli University, Indonesia
Email : samsulhutasoit1@gmail.com

Received: 30 Aug 2024; Received in revised form: 30 Sep 2024; Accepted: 03 Oct 2024

©2024 The Author(s). Published by TheShillonga. This is an open-access article under the CC BY license
(<https://creativecommons.org/licenses/by/4.0/>)

Abstract

This study aims to determine and analyze how the influence of human resources and work commitment on the performance of employees of the regional drinking water company mual na tio tarutung. The research approach used is descriptive quantitative and supported by secondary data. The type of data used is primary data obtained from the results of questionnaire data processing and secondary data obtained from data processing and observation. The data analysis technique starts from distributing questionnaires to respondents, then processing the data with validity tests, reliability tests, classical assumption tests, correlation coefficient tests, multiple linear regression analysis, multiple correlation coefficient significance tests (F-test), and finally drawing conclusions. The results of research and discussion can be obtained that the relationship between variable X1 with variable Y is rhiting ($0.633 > r_{tabel} (0.226)$) it is concluded that there is a significant relationship between the quality of human resources (X1) and employee performance (Y). And based on the guidelines for interpreting the correlation coefficient, the coefficient found of 0.633 is included in the strong category. So there is a strong relationship between the Quality of Human Resources (X1) with employee performance (Y) at the Regional Drinking Water Company Mual Na Tio Tarutung. Vaiabel X2 relationship with variable Y is rhiting ($0.633 > r_{tabel} (0.226)$) it is concluded that there is a significant relationship between Work Commitment (X2) with employee performance (Y). And based on the guidelines for interpreting the correlation coefficient, the coefficient found of 0.633 is included in the strong category. So there is a strong relationship between work commitment (X2) with employee performance (Y) at the Regional Drinking Water Company Mual Na Tio Tarutung.

Keywords— Human resources, work commitment, employee performance, correlation coefficient, multiple linear regression.

I. INTRODUCTION

Human resource issues are still in the spotlight and the foundation for companies to survive in the era of globalization. Human resources are a determining factor in the successful implementation of an effective organization. The growing importance of human resources stems from increasing legal complexity, the realization that human resources are a valuable tool for increasing productivity and awareness of the costs associated with weak human resource management. Seeing the importance of human

resources, there are many employees who work seriously or behave well (ethically) in a company, but there are also those who work out of control so that it can lead employees towards bad behavior or unethical behavior. Unethical behavior arises because employees feel dissatisfied and disappointed with the results they get from the company. To create reliable human resources requires good management so that employee performance is more optimal. The achievement of company goals is influenced by the performance of the company's employees

themselves. Therefore, companies need potential and quality human resources, both in terms of leaders and employees in the pattern of duties, responsibilities, in accordance with regulations and supervision which are the determinants of achieving company goals. Work commitment is a condition in which an employee sides with a particular organization and its goals and desires to maintain membership in the organization (Robbins and Judge, 2007: 221). High organizational commitment from employees will obtain employees who are loyal and work as well as possible for the benefit of the organization. This situation is very good for the achievement of organizational goals, because the organization gets full support from its members so that it can concentrate fully on prioritized goals. This commitment can be realized if individuals in the organization carry out their rights and obligations in accordance with their respective duties and functions in the organization, because the achievement of organizational goals is the result of the collective work of all members of the organization. Regional Drinking Water Company (PDAM) Mual Na Tio Tarutung is a company engaged in the provision of clean water in the shade of Regional Owned Enterprises (BUMD), with office location located in the city precisely on jln.KPT PATTIMURA NO.1 Tarutung. Mual Na Tio Tarutung Drinking Water Regional Company is directly related to the people who use the services of the Drinking Water Regional Company, so it is required to improve services in order to realize customer satisfaction and create its image. To realize this, it is necessary for the performance of employees and services of the Regional Drinking Water Company to the community in order to establish good cooperation between service users and the Regional Drinking Water Company. Based on the existing phenomenon, companies use sophisticated tools for the absence system (check clock) so that employees have a sense of responsibility and are on time in their attendance list. This is done for employees so that they can improve their good performance. The performance of employees of the Regional Drinking Water Company must also be based on having good quality or quality resources in themselves and an attitude of professionalism in carrying out existing duties and rules, as well as the commitment of employees they have to the company to realize company goals.

1. **RQ1** : The problem that then arises is whether the quality of human resources partially has a positive and significant effect on the performance of employees of PDAM Mual Na Tio North Tapanuli?
2. **RQ2** : Does commitment partially have a positive and significant effect on the performance of employees of PDAM Mual Na Tio North Tapanuli?

3. **RO3** : Do the quality of human resources and work commitment simultaneously have a positive and significant effect on the performance of employees of PDAM Mual Na Tio North Tapanuli?

II. REVIEW OF LITERATURE

a) Quality of Human Resources

Suharto (2012: 70) says that the quality of human resources is the ability of employees to carry out the inspection process as seen from a person's proficiency, educational background, requirements that must be followed to be able to carry out the inspection process, training, professional issues and socialization of regulations that have changed. Human resources can be said to be of quality when they have the ability to carry out the authority and responsibility given to them. This ability can only be achieved when they have sufficient education, training and experience to carry out the assigned tasks and responsibilities.

b) Work Commitment

Work commitment is another term for organizational commitment, which is a behavioral aspect that can be used to assess employee tendencies. Work commitment is an employee who favors a particular organization, as well as its goals and desires to maintain membership in the organization (Robbins and Judge, 2008). Amstong and Baron (2010), say that work commitment is about knowing the goals and values of the organization, the desire to belong to the organization and the ability to strive to belong to the organization. Armstrong and Baron also explain that commitment can ensure that the organization is seen as a "great place to work", then make it a "leader of choice". Based on the previous explanation of work commitment, it can be concluded that work commitment is a strong sense and attitude of attachment to the organization or company where he works, both in the aspect of company values, the environment and the reciprocity provided by the organization. Robbin and Judge's explanation is almost in line with that put forward by Baron, namely the attachment of individuals to the organization in terms of achieving the goals that the organization will achieve, while the opinion presented by Mowdays emphasizes more on individual involvement with an organization.

c) Performance

According to Moeheriono (2012: 95), performance is a description of the level of achievement of the implementation of an activity program or policy in realizing the goals, objectives, vision, and mission of the organization as outlined through the strategic planning of

an organization. Meanwhile, according to the opinion of Mangkunegara (2006: 67) employee performance or employee performance is the result of work in quality and quantity achieved by an employee in carrying out his duties according to the responsibilities given to him. It can be concluded that performance is the result of employees' work for the company that they do to realize the company's goals, objectives, vision and mission. So that it can be known whether the quality of an employee is good or not for the work that has been given by the company with the performance carried out by the employee. The company must also always monitor or control employee work activities so that it can know in depth the results of the work carried out by employees, and employees also have a high sense of responsibility towards the company to achieve a common goal.

III. RESEARCH METHODOLOGY

In this study the population was all employees of PDAM Mual Na Tio Tarutung, totaling 71 people. Data collection techniques are by: Questionnaires and interviews. Types and sources of data are primary data and secondary data. Data analysis or processing techniques using the method This analysis is used to determine the correlation between variables X and Y, using the correlation coefficient calculation formula (r) with the following formula:

$$r = \frac{n \sum XY - (\sum X)(\sum Y)}{\sqrt{\{n(\sum X^2) - (\sum X)^2\} \{n(\sum Y^2) - (\sum Y)^2\}}}$$

Multiple linear regression test in predicting how much influence between variable X on variable Y, the Multiple Linear Regression test is used with the Carl Pearson formula, namely:

$$Y = a + b X$$

Significance Test of Multiple Correlation Coefficient (F Test) In order to determine / conclude the results of the study, it is necessary to first test whether the r (correlation coefficient) that has been determined above is significant or not. To determine the significance of the correlation coefficient, the F test is used with the formula:

$$F = \frac{R^2/k}{h(1-R^2)/(n-k-1)}$$

IV. RESULT AND DISCUSSION

Correlation analysis (r) aims to determine the relationship between the variables of Human Resources Quality (X1) and Work commitment (X2) to Employee Performance (Y) using the help of spss version 20.00. as follows:

Table 4.1 Correlation Coefficient Correlations

Model		Human Resources	Work Commitment	Employee Performance
Human Resources	Pearson Correlation	1	.735**	.739**
	Sig. (2-tailed)		.000	.000
	N	71	71	71
Work Commitment	Pearson Correlation	.735**	1	.850**
	Sig. (2-tailed)	.000		.000
	N	71	71	71
Employee Performance	Pearson Correlation	.739**	.850**	1
	Sig. (2-tailed)	.000	.000	
	N	71	71	71

Correlation is significant in the 0.01 level (2-tailed). Source: SPSS Processed Data

Based on the table above, we can compare rcount with rtabel for decision making where rtabel is obtained 0.226.

Decision-making criteria are taken by comparing the value of rcount with rtabel, if rcount > rtabel then it can be

concluded that there is a significant relationship between variable X and variable Y, otherwise if $r_{count} < r_{table}$ then there is no significant relationship between variable X and Y. Based on the data above, then: The relationship between Variable X1 and Variable Y is $r_{hitung} (0.633) > r_{tabel} (0.226)$ it is concluded that there is a significant relationship between the quality of human resources (X1) and employee performance (Y). And based on the table above the guidelines for interpreting the correlation coefficient, the coefficient found of 0.633 is included in the strong category. So, there is a strong relationship between the quality of human resources (X1) with employee performance (Y) at the Regional Drinking Water

Company Muall Na Tio Tarutung. The relationship between Variable X2 and Variable Y is $r_{hitung} (0.633) > r_{tabel} (0.226)$ it is concluded that there is a significant relationship between Work Commitment (X2) and Employee Performance (Y) And based on the table above the guidelines for interpreting the correlation coefficient, the coefficient found of 0.633 is in the strong category. So, there is a strong relationship between work commitment (X2) with employee performance (Y) at the Regional Drinking Water Company Muall Na Tio Tarutung. To analyze the effect of human resource quality and work commitment on employee performance, multiple linear regression is used as follows:

Coefficients

Model	Unstandardized Coefficients		Standardized Coefficients	t	Sig.
	B	Std. Error			
(Constant)	2.211	2.764		.800	.432
Human Resources	.126	.123	.221	1.019	.319
Work Commitment	.215	.110	-.422	-1.950	.064

Dependent Variable: LNY

Based on the table above which is obtained from the results of processing and computerization using the SPSS version 20.0 program, the equation is obtained multiple linear regression as follows:

$$Y = a + b_1 X_1 + b_2 X_2 = 2,211 + 0,126X_1 + 0,215X_2$$

The regression equation above can be explained as follows:

- a = 2.211 indicates that if X1 (Quality of Human Resources) and X2 (Work Commitment) X=0 this indicates that there are indications of other variables that affect performance besides the Quality of Human Resources and Work Commitment.
- b1 = 0.126 Indicates that every change in 1 variable Quality of Human Resources (X1) will be offset by changes in Employee Performance (Y) of 0.126.
- b2 = 0.215 indicates that every change of 1 variable Work Commitment (X2) will be offset by changes in Employee Performance (Y) of 0.215.

V. CONCLUSION

Commitment on Employee Performance at PDAM Muall Na Tio Tarutung, the following conclusions can be drawn:

- a. The relationship between Variable X1 and Variable Y is $r_{hitung} (0.633) > r_{tabel} (0.233)$. It can be concluded that there is a significant relationship between the quality of human resources (X1) and employee performance (Y). And based on table 4.33 of the correlation coefficient interpretation guidelines, the coefficient found of 0.633 is included in the strong category. So there is a strong relationship between the quality of human resources (X1) with employee performance (Y). At the Regional Drinking Water Company Muall Na Tio Tarutung.
- b. The relationship between Variable X2 and Variable Y is $r_{hitung} (0.633) > r_{tabel} (0.233)$ it is concluded that there is a significant relationship between Work Commitment (X2) and Employee Performance (Y). And based on the table above the guidelines for interpreting the correlation coefficient, the coefficient found of 0.633 is included in the strong category. So there is a strong relationship between the Quality of

Human Resources (X2) and employee performance (Y). Employee performance (Y). At the Regional Drinking Water Company Mual Na Tio Tarutung.

- c. Based on multiple linear regression calculations, there is a significant relationship between the Quality of Human Resources and Work Commitment to Employee Performance with the equation: $Y = a + b X_1 + c X_2$
 $Y = 22,211 + 0,126X_1 + 0,215X_2$
- d. The results of hypothesis testing are known through the F test. The results of data processing using the SPSS version 20.0 program are in accordance with the test requirements that $F_{count} 17.366 > F_{tabel}$ it means that the quality of human resources and work commitment simultaneously affect employee performance at PDAM Mual Na Tio Tarutung.

REFERENCES

- [1] A.A Anwar Prabu Mangkunegara, tahun 2006, "Perencanaan dan Pengembangan Manajemen Sumber Daya Manusia", Pen. PT Refika Aditama
- [2] Armstrong, Michael. 2010. "Manajemen Sumber Daya Manusia". PT Elexmedia Komputindo. Jakarta.
- [3] Arif Yusuf Hamali. 2016. "Pemahaman manajemen sumber daya manusia". Yogyakarta: Center for Academic Publishing Service.
- [4] Dessler, Gary. 2010. Manajemen Sumber Daya Manusia. Edisi Kesepuluh. Jilid Satu Jakarta Barat : PT. Indeks.
- [5] Ghozali, Imam. 2005. "Aplikasi Analisis Multivariate dengan SPSS". Semarang: Badan Penerbit UNDIP.
- [6] Notoatmodjo, Soekidjo. 2009. Pengembangan Sumber Daya Manusia. Jakarta: Rineka Cipta.
- [7] Adugna, D., G., D.-S., & Leta, A. (2024). Yield Response of Chick Pea (*Cicer arietinum* L.) Varieties to NPS Fertilizer. In *International Journal of Horticulture, Agriculture and Food science* (Vol. 8, Issue 1, pp. 19–27). <https://doi.org/10.22161/ijhaf.8.1.3>
- [8] Robbins dan Judge, 2008. *Perilaku Organisasi*. Edisi 12, Salemba Empat, Jakarta.
- [9] Robbins, Stephen, 2006, "Perilaku Organisasi", Prentice Hall, edisi kesepuluh.
- [10] Sabardini, 2006, "Peningkatan Kinerja Melalui Perilaku Kerja Berdasarkan Kecerdasan Emosional", *Telaah Bisnis*, Vol.7, No.1.
- [11] Nyanyoh, B. B., & Wanie, C. M. (2024). Categorisation of Rural Development Stakeholders in Bui Division, North West Region of Cameroon. In *International Journal of Rural Development, Environment and Health Research* (Vol. 8, Issue 2, pp. 44–53). <https://doi.org/10.22161/ijreh.8.2.5>
- [12] Simanjuntak. 2005. *Manajemen Dan Evaluasi Kinerja*. Jakarta: Fakultas Ekonomi Universitas Indonesia.

Development of Character Education Curriculum Management Based on the Integration of Pancasila Values in PAUD Tampahan District Toba Regency

Rosalinda Septiani Sitompul¹, Binur Panjaitan², Arip Surpi Sitompul³

¹Tarutung State Institute of Christian Religion, Indonesia
Email: rosalindassitompul@gmail.com

²Tarutung State Institute of Christian Religion, Indonesia
Email: panjaitanbinur@yahoo.com

³Tarutung State Institute of Christian Religion, Indonesia
Email: aripsurpisitompul@gmail.com

Received: 28 Aug 2024; Received in revised form: 25 Sep 2024; Accepted: 01 Oct 2024

©2024 The Author(s). Published by TheShillonga. This is an open-access article under the CC BY license (<https://creativecommons.org/licenses/by/4.0/>)

Abstract

Education management according to Law No. 20/2003 Article 1 Paragraph 1 includes planning, organizing, directing and controlling educational resources to develop human potential holistically, including mental, moral and physical. Character education management emphasizes developing learners' characters with moral values such as honesty, responsibility and tolerance. The integration of character values in the curriculum aims to create academically intelligent and highly moral individuals. In PAUD Tampahan sub-district, the current Curriculum 2013 (K13) focuses more on academic and cognitive aspects, while character development and Pancasila values receive less attention. K13, which refers to Minister of Education and Culture Regulation No. 146 of 2014, has not been optimal in emphasizing Pancasila-based character education. Based on observation, 70% of PAUD teachers felt the need for a more structured curriculum to teach Pancasila values. This research aims to: (a) to produce a character education curriculum management design based on the integration of Pancasila values in PAUD Tampahan District, Toba Regency, and (b) to find Pancasila values that are integrated and their implementation in daily learning. This research is a Research and Development (R&D) that aims to develop and validate a character education curriculum based on Pancasila values for PAUD. The curriculum design was developed through four stages: (1) Planning: Identifying the need for character education based on Pancasila values, with 70% of PAUD teachers stating the need for a structured curriculum. (2) Organizing: Establishing the structure and components of the curriculum, including learning objectives, core competencies, and basic competencies. (3) Implementation: Pilot testing of the curriculum at Jagung PAUD showed 88% of learners in the "Developing as expected" category and 12% in the "Developing Very Well" category, with no learners in the "Not Developing" or "Beginning to Develop" categories. (4) Monitoring: Pre-test and post-test evaluations showed an increase in learner development, indicating the success of the curriculum. This curriculum integrates 10 of the 18 values of national character building according to Syarbaini (2011), namely: Sincerity, Unity, Mutual cooperation, Deliberation, Cooperation, Harmony, Patriotism, Simplicity, Dignity and self-respect, and Hard work.

Keywords — Character Education, Curriculum management, Pancasila Values, Early Childhood Development

I. INTRODUCTION

Education management based on Law No. 20/2003 Article 1 Paragraph 1 includes planning, organizing, directing and controlling educational resources to develop human potential holistically, including mental, moral and physical aspects. Character education management

emphasizes moral values such as honesty, responsibility and tolerance, as well as the integration of character values in the curriculum to create academically intelligent and highly moral individuals. Pancasila-based character education aims to shape the young generation with strong moral and ethical values, using values such as Divinity,

Humanity, Unity, Democracy, and Social Justice as the foundation. Curriculum is a key element in education management, but the current Curriculum 2013 (K13) of PAUD still lacks emphasis on children's character building and focuses more on academic and cognitive aspects. Ministry of Education and Culture Regulation No. 146/2014 regulates the core competencies of PAUD, but has not specifically emphasized character education. In Tampahan sub-district PAUD, the current curriculum is not optimal in teaching Pancasila values. Observations show that 70% of teachers feel the need for a more structured curriculum to teach Pancasila values. Character education in PAUD aims to help children understand moral values from an early age, which are relevant for shaping children's character to face future challenges. Research by Mustofa et al. (2022) shows that Pancasila includes values relevant in character education, including religious, humanist, unity, democratic, and social. The identification of problems in this study are: a) The K13 curriculum in PAUD does not emphasize character building, focusing more on academic and cognitive aspects, so that children's moral and emotional development is less considered. b) K13 has not sufficiently emphasized Pancasila values as a moral and ethical foundation. c) PAUD children do not know Pancasila well. d) The need for research on the development of a character education curriculum based on the integration of Pancasila values. The problems of this research are: a) How is the design of character education curriculum management development based on the integration of Pancasila values in PAUD Tampahan District Toba Regency? b) What are the values of Pancasila integrated into the curriculum and how is it implemented in daily learning? The objectives of this research are: a) Produce a character education curriculum management design based on the integration of Pancasila values in PAUD Tampahan District Toba Regency. b) Find the values of Pancasila that are integrated and their implementation in daily learning.

II. REVIEW OF LITERATURE

Education management is the process of planning, organizing, implementing, and controlling various aspects of education to achieve set goals (Engkoswara, 2001). Curriculum is a systematic plan and arrangement that guides the learning process in educational institutions (Tyler, 1970). Curriculum development must answer questions about goals, learning experiences, learning organization, and success assessment (Sudarman, 2019). According to Oemar Hamalik (2006), curriculum management includes planning, implementation, and supervision to achieve educational goals, including

teaching strategies, evaluation, and provision of resources. According to Zubaedi (2011), character education is a planned effort that involves all aspects of school life to support optimal character development. All school components, such as curriculum, learning, relationships, discipline, and environment, must play an active role (Trisiana et al., 2019). Pancasila, as the foundation of the state, reflects the values and principles on which Indonesia is based. Syarbaini (2011) states that Indonesia's national identity comes from cultural values based on Pancasila and "Unity in Diversity". National character values include 1) Faith and Piety, 2) Honesty, 3) Discipline, 4) Sincerity, 5) Responsibility, 6) Unity, 7) Mutual respect, 8) Tolerance, 9) Mutual cooperation, 10) Deliberation, 11) Cooperation, 12) Hospitality, 13) Harmony, 14) Patriotism, 15) Simplicity, 16) Dignity and self-respect, 17) Hard work, 18) Never give up. According to the Minister of Education, Culture, Research and Technology Regulation No. 7 of 2022, Article 1 (4), Early Childhood Education (ECED) is a development effort for children aged birth to six years through educational stimulation to support physical and mental growth, preparing them for the next stage of education. The curriculum development aims to improve the shortcomings of the old curriculum by adjusting the needs of children. The new curriculum design, which was designed after collecting theories from various sources, including books and interviews, added a 5th Core Competency on Character Based on Pancasila Value Integration. The old curriculum, Curriculum K13, had 4 Core Competencies: 1) Spiritual (KI-1), 2) Social Attitude (KI-2), 3) Knowledge (KI-3), and 4) Skills (KI-4). The curriculum development involved adding the 5th Core Competency on Character Based on Pancasila Value Integration, as well as making Basic Competencies, RPP, RPPM, RPPH, and Learning Evaluation. This study used the ADDIE (Analyze, Design, Development, Implementation, Evaluation) model for instructional design and curriculum development. The ADDIE model was chosen because its stages are simple, easy to understand, and implementable for the development of a character education curriculum that integrates Pancasila values.

III. RESEARCH METHODOLOGY

This type of research is Research and Development (R&D), which aims to develop and validate a character education curriculum based on the integration of Pancasila values. This research was conducted to overcome the shortcomings of the K13 curriculum which focuses more on academic and cognitive aspects, with less emphasis on the formation of children's character and

understanding of Pancasila values. The purpose of this development is not to formulate or test a theory, but to produce a curriculum product that is effectively used in PAUD. The development process involved expert validation, field trials, revision, and final product evaluation. The study population included all PAUD students in Tampahan sub-district, with a sample taken by cluster sampling from one PAUD school, PAUD Jagung with 32 students. The ADDIE model (Analyze, Design, Development, Implementation, Evaluation)

was used for curriculum development due to its simplicity and ease of implementation. Data analysis consisted of two stages: qualitative analysis for the curriculum development process, and quantitative analysis to assess changes in children's character from pre-test to post-test by calculating the percentage of change using the formula:

$$P = \frac{F}{N} \times 100$$

Description: P = Percentage of the level of change, F = Frequency of values obtained by children, N = number of children.

IV. RESULT AND DISCUSSION

A draw was conducted to select one of the seven PAUDs as the object of research, and PAUD Jagung was selected. PAUD Jagung, established on November 20, 2009 in Gurgur Aek Raja Village, Tampahan Sub-district, Toba District, is located on the Balige-Tarutung causeway, next to the UPT of the North Sumatra Provincial Agriculture Office. The vision of PAUD Jagung is to realize early childhood that is devoted, healthy, smart, honest, and loves the country. The missions include: a. Providing service facilities for students. b. Implementing active, creative, effective, and innovative learning. c. Educating children according to their abilities. d. Increasing awareness and participation of the community and government towards children. Increase awareness and participation of the community and government towards PAUD services. The facilities available are 1 permanent classroom, sitting swing, throwing swing, slide house, slide, and seesaw. Learning activities take place from 08.00-11.00 am, Monday-Friday, starting with prayers, songs, and circle formation, followed by classroom learning.

A. Results of Character Education Curriculum Management Development Based on Integration of Pancasila Values

The product of this development research is a character education curriculum management design that integrates

Pancasila values, because previously there has been no development that designs this product. The module development process starts from making the initial prototype to producing the final module as the final product, through several steps modified from the Borg & Gall research model, namely the ADDIE Model. To ensure that the character education curriculum product based on Pancasila values is valid, validation activities are carried out on the module, learning tools, and research instruments needed. The validity of the character education curriculum product that integrates Pancasila values is measured based on a rational theoretical foundation and consistency between curriculum components. Furthermore, to develop a character education curriculum based on the integration of Pancasila values that is practical and effective, validation activities and field trials were carried out through the implementation of classroom learning. The following is a development procedure using the ADDIE model, including several stages, namely:

1. Preliminary Research Results

a. Literature review results

The 2013 Curriculum (K13) for PAUD was born in response to social, economic and technological developments that require a more relevant and responsive curriculum. Previously, Indonesia used the Education Unit Level Curriculum (KTSP). K13 was developed based on regulations such as Law No. 20 of 2003 and Government Regulation No. 19 of 2005, with a focus on competencies required in the modern era. The development of K13 involved in-depth research and piloting in pilot schools. Revisions were made based on the pilot results to refine the core and basic competencies. The government trained early childhood teachers to understand the K13 philosophy and design integrative thematic learning. Implementation is gradual, with evaluation to ensure success and make improvements where necessary. The K13 curriculum continues to be adjusted by the government based on feedback from stakeholders to keep it relevant to the development of science, technology and community needs. The adoption process of K13 in PAUD is done gradually with intensive socialization. According to Syarbaini (2011), there are 18-character values based on Pancasila, of which 8 values are already covered in the core competencies of K13, such as faith and piety, honesty, discipline, responsibility, mutual respect, tolerance, friendliness and perseverance. Therefore, there are 10 values that will be integrated in the development of character education based on the integration of Pancasila values, namely: sincerity,

unity, mutual cooperation, deliberation, cooperation, harmony, patriotism, simplicity, dignity, and hard work.

b. Needs Analysis Results

This study involved three children and fourteen PAUD teachers in Tampahan sub-district to identify the needs of a character education curriculum based on Pancasila values. Data were collected through interviews and questionnaires. Observations showed that the K13 PAUD curriculum focuses more on academic aspects, while character building, especially the internalization of Pancasila values, receives less attention. As a result, children's moral, ethical and emotional intelligence development is less than optimal. The results of the needs analysis from PAUD teachers emphasized the importance of developing a more structured curriculum to teach Pancasila values in early childhood. Around 70% of early childhood teachers who responded to this study expressed concerns about the lack of clarity and structure in the K13 curriculum for teaching Pancasila values. They felt that the curriculum emphasized academic aspects such as reading, writing and arithmetic, while character building, morals and ethics were less accommodated. Teachers also feel that they are not equipped with concrete strategies to integrate Pancasila values, such as gotong royong and love for the country, into daily learning. This has led to sporadic and inconsistent teaching of Pancasila values, which has the potential to hinder children's character development. Therefore, the needs analysis emphasized the need to develop a curriculum that is balanced between academic aspects and the teaching of Pancasila values. The curriculum should provide clear guidance for teachers on how to integrate Pancasila values into daily learning. This is expected to support early character building of PAUD children and prepare them to implement Pancasila values in their daily lives.

2. Planning stage results

Based on the design of character education curriculum development based on the integration of Pancasila values, the planning stage consists of six steps:

- a. Planning for Core Competency-5 (KI-5), which is the core competency of character education based on the integration of Pancasila values.

This research analyzes the K13 curriculum in PAUD which consists of four Core Competencies (KI), namely spiritual, social attitudes, knowledge and skills. However, this

curriculum has not specifically covered character education based on Pancasila values. Therefore, the researcher designed the addition of Core Competency-5 (KI-5), which focuses on character education based on 10 Pancasila values: sincerity, unity, gotong royong, deliberation, cooperation, harmony, patriotism, simplicity, dignity and self-respect, and hard work. The goal of KI-5 is to shape PAUD children into individuals with integrity who understand and apply the values of Pancasila. It aims to develop character early on, creating a generation that is responsible, empathetic, and contributes positively to society.

b. Basic Competency Planning

The Basic Competencies (KD) planning stage in the development of the Pancasila values-based character education curriculum aims to formulate the expected learning outcomes of the ten-character values. Each value is described in the form of attitudes, knowledge, and skills relevant to early childhood. The following is the KD formulation of each value: a) Sincerity: Demonstrate an attitude of helping friends without expecting anything in return, Unity: Identifying the importance of unity in maintaining good relationships with peers, Gotong Royong: Participate in gotong royong activities in the school environment, Deliberation: Participate in class deliberations to solve problems together, Cooperation: Demonstrate a cooperative attitude in completing group tasks, Harmony: Maintain harmony in interacting with friends and teachers, Patriotism: Demonstrate patriotism through participation in flag ceremonies, Simplicity: Implementing a simple life by using goods as needed, Dignity and Self-Worth: Respecting oneself and others in daily interactions, Hard Work: Demonstrate an attitude of hard work in completing assigned tasks. These basic competencies are the basis for designing learning activities that integrate Pancasila values in the PAUD curriculum.

c. Learning Implementation Plan (RPP) Planning

The purpose of the Learning Implementation Plan (RPP) is to provide a systematic guide for teachers in carrying out learning activities. The objectives include: Organizing learning: ensuring competency objectives and embedded values are met, Facilitating competency achievement: helping teachers design activities that support basic competencies, Managing effective time: helping teachers manage learning time well, Integrating values and characters: embedding Pancasila values systematically in learning, Assisting

evaluation: providing tools to evaluate learners' progress, Improving learning quality: making learning more structured and meaningful, Lesson plans are linked to relevant themes that make learning more contextual for learners. Specific subthemes cover attitudes, knowledge, and skills.

d. Planning Weekly Learning Implementation Plan (RPPM)

The Weekly Learning Implementation Plan (RPPM) is an important tool in ECD education that helps teachers structure learning systematically, reduce improvisation, and ensure each day of the week has a clear purpose. It enables learning to be logical and continuous, preventing mistakes or unnecessary repetition of material to make it more effective. It also allows the integration of themes with various activities, helping learners understand concepts holistically. With lesson plans, teachers can ensure all basic competencies are achieved, maintain consistency and quality of learning, and provide opportunities for learners to develop according to their potential. This makes lesson plans an essential component of effective classroom management.

e. Planning Daily Learning Implementation Plan (RPPH)

The Daily Learning Implementation Plan (RPPH) is an important document in early childhood education that helps teachers plan daily learning activities with clear objectives. It ensures each activity supports the achievement of basic competencies, provides a structured framework for managing time, and designs activities that are engaging and developmentally appropriate. The lesson plan also allows teachers to adapt learning materials to children's needs and be responsive to classroom dynamics. With careful planning, teachers can overcome learning challenges more confidently and effectively. In addition, the lesson plan serves as a daily evaluation tool to monitor the success of learning.

f. Learning Evaluation Planning

The learning evaluation plan in the Pancasila values-based character education curriculum is important to ensure character education goals are achieved. Evaluation measures students' understanding and ability to apply Pancasila values, identifies areas of improvement and enables curriculum adjustments to improve the quality of education. Evaluation helps monitor the successful integration of Pancasila values in learning and provides constructive feedback for educators and students. It ensures the curriculum remains relevant, compliant with national standards,

and effective in shaping students' character. Learning outcome tests are used to measure student mastery before and after learning, with the development of a grid as part of the test design.

3. Results of the development stage

a. Stage of Curriculum Development

In the era of globalization, education faces great challenges, especially in shaping the character of the younger generation based on Pancasila values. A needs analysis of the K13 PAUD curriculum shows that character aspects have not received adequate attention, focusing more on academic aspects. As many as 70% of PAUD teachers stated the need for a more structured curriculum to teach Pancasila values. The results of the analysis indicate a gap between the current curriculum and the needs of Pancasila-based character education. Therefore, it is necessary to develop a curriculum that emphasizes character based on Pancasila values, such as sincerity, unity, mutual cooperation, and others. This curriculum will add one Core Competency (KI-5) to focus on Pancasila-based character education.

b. Curriculum tool development stage

The curriculum tool development stage is an important process in overall curriculum development. At this stage, the various components of the curriculum are organized to ensure the educational objectives are achieved. The following are the results of the development carried out:

1. Selecting Instruments: Five types of instruments were selected: validation sheet, expert assessment sheet, observation sheet, questionnaire, and learning outcome test.
2. Define aspects and Measurement Indicators:
 - a. Curriculum Validation Sheet: Assessed by instructional material, design, and media experts with aspects such as material suitability, integration, and flexibility.
 - b. Curriculum Content Validation: Measures conformity with character education objectives, integration of Pancasila values, relevance of materials, and learner engagement.
 - c. Curriculum Construction Validation: Assesses the cohesiveness, consistency, socio-cultural relevance and flexibility of the curriculum.

- d. Validate lesson plans, lesson plans and lesson plans: Ensure learning components are well designed, relevant and flexible in supporting educational objectives.
- e. Validation of Learning Evaluation: Measuring test validity, reliability, fit for purpose, and development of cognitive, affective, and psychomotor aspects.
- f. This brief covers the development of instruments and assessment aspects used to ensure the effectiveness and relevance of the Pancasila values-based curriculum.

4. Results of the development stage

After the development of the initial prototype (draft 1) of the curriculum, it was evaluated in several stages to identify shortcomings and improve it:

- a. Expert Evaluation: Four experts assessed the validity and quality of the curriculum components. Their feedback resulted in revisions to draft 2.

- b. One-to-One Evaluation: Three ECD children with different abilities assessed the quality and practicality of the curriculum. This resulted in draft 3.
- c. Small Group Evaluation: Six preschool children of different abilities evaluated the product. Revisions from this evaluation resulted in draft 4.
- d. Field Trial:

This trial involved 23 children from Tampahan sub-district's Jagung PAUD (1 class) representing the actual target population. This resulted in a final curriculum that is ready for implementation. This process ensures that the curriculum developed is in line with the objectives of Pancasila values-based character education. In conclusion, this curriculum has successfully improved the understanding and application of Pancasila values in PAUD children, with very positive results.

Table 4.1: Product Pre-Test Results

NO	Students Name	Total Score	Categories
1.	Farel Alviansyah	37	Starting to Develop
2.	Berliana Panjaitan	38	Starting to Develop
3.	Cleo O. Napitupulu	35	Starting to Develop
4.	Sela Dearn Purba	39	Starting to Develop
5.	Stefano Hatorangan Pasaribu	39	Starting to Develop
6.	Alexa Simamora	38	Starting to Develop
7.	Joel Alvredo Siahaan	38	Starting to Develop
8.	Bunga Simanjuntak	38	Starting to Develop
9.	Felicia S. Simanjuntak	36	Starting to Develop
10.	Diva Ronauli Silalahi	38	Starting to Develop
11.	Felix Sion Simbolon	38	Starting to Develop
12.	Josia Sihombing	39	Starting to Develop
13.	Ressa Rachelia Napitupulu	39	Starting to Develop
14.	Cana Joevanca Marpaung	38	Starting to Develop
15.	Elia Haifa Sibuea	38	Starting to Develop
16.	Adrian Noel Simanjuntak	35	Starting to Develop
17.	Bastian Imanuel Siahaan	40	Starting to Develop
18.	Aulia Christina	39	Starting to Develop
19.	Christin Samosir	38	Starting to Develop

20.	Revan Vaber Marpaung	38	Starting to Develop
21.	Arjuna Marpaung	39	Starting to Develop
22.	Luis Daud Frans Tampubolon	38	Starting to Develop
23.	Queen A.B. Simanjuntak G88	37	Starting to Develop
Total Score		876	
Mean		38	Starting to Develop

The pre-test results of the character education curriculum based on the integration of Pancasila values in PAUD showed that 2 children were in the "Not Developing" category, while the majority (21 children or 91%) were in the "Starting to Develop" category. No children reached the "Developing as expected" or

"Developing very well" categories. This indicates that most children have begun to understand the values of Pancasila, but are still in the early stages and require further guidance

Table 4.2 Product Post-Test Results

NO	Students Name	Total Score	Categories
1.	Farel Alviansyah	59	Developing as expected
2.	Berliana Panjaitan	61	Developing as expected
3.	Cleo O. Napitupulu	58	Developing as expected
4.	Sela Dearn Purba	60	Developing as expected
5.	Stefano Hatorangan Pasaribu	61	Developing as expected
6.	Alexa Simamora	58	Developing as expected
7.	Joel Alvredo Siahaan	60	Developing as expected
8.	Bunga Simanjuntak	61	Developing as expected
9.	Felicia S. Simanjuntak	59	Developing as expected
10.	Diva Ronauli Silalahi	60	Developing as expected
11.	Felix Sion Simbolon	60	Developing as expected
12.	Josia Sihombing	66	Developing Very Well
13.	Ressa Rachelia Napitupulu	61	Developing as expected
14.	Cana Joevanca Marpaung	59	Developing as expected
15.	Elia Haifa Sibuea	60	Developing as expected
16.	Adrian Noel Simanjuntak	58	Developing as expected
17.	Bastian Imanuel Siahaan	66	Developing Very Well
18.	Aulia Christina	62	Developing as expected
19.	Christin Samosir	62	Developing as expected
20.	Revan Vaber Marpaung	63	Developing as expected
21.	Arjuna Marpaung	66	Developing Very Well
22.	Luis Daud Frans Tampubolon	60	Developing as expected
23.	Queen A.B. Simanjuntak G88	59	Developing as expected
Total Score		1.399	
Mean		61	Developing as expected

The post-test results of the implementation of the character education curriculum based on the integration of Pancasila values showed positive development in all PAUD children. There were no children in the "Undeveloped" or "Beginning to Develop" categories, indicating that all children had reached a better level of understanding and application of Pancasila values. Most children (87%) were in the category of "Developing as expected," indicating significant development in line with curriculum objectives. In addition, 13% of children were in the category of "Developing Very Well," indicating an understanding and application of Pancasila values that exceeded expectations.

B. Discussion of Research Results

This discussion analyzes the development of character education curriculum management based on the integration of Pancasila values in PAUD Jagung Tampahan District. The research produced a curriculum product that integrates Pancasila values into early childhood character education with the following stages:

- a. Planning: Needs identification was done through interviews and questionnaires to teachers and children. Results showed 70% of teachers needed a more structured curriculum. Out of 18 Pancasila values, 10 values were selected for integration in the curriculum: sincerity, unity, gotong royong, deliberation, cooperation, harmony, patriotism, simplicity, dignity and self-respect, and hard work.
- b. Organization: The current K13 curriculum has four Core Competencies (KI), but has not yet incorporated Pancasila-based character education. KI-5 was developed to integrate Pancasila values, with the preparation of RPP, RPPM, and RPPH.
- c. The development of KI-5 through several stages of evaluation and trials resulted in a final curriculum that is ready to be implemented. Implementation: Pilot testing of the curriculum at PAUD Jagung showed that most children (87%) were in the category of "Developing as expected," and 13% in the category of "Developing Very Well." There were no children in the "Undeveloped" or "Beginning to Develop" categories, indicating a significant improvement in the understanding of Pancasila values.
- d. Monitoring: Evaluation of pre-test and post-test results showed that the curriculum successfully improved children's abilities from the "Beginning to Develop" category to "Developing as Expected." Supervision ensures that the

curriculum is implemented effectively and achieves the expected results. Overall, the character education curriculum based on the integration of Pancasila values is feasible in Tampahan sub-district's Jagung PAUD. It has demonstrated effectiveness in improving children's understanding and application of Pancasila character values, and can serve as a model for developing similar curricula in other educational institutions.

V. CONCLUSION

Character Education Curriculum Design Based on the Integration of Pancasila Values in PAUD Tampahan District Toba Regency was developed through the stages of planning, organizing, implementing, and supervising, with the following results:

- a. Planning: Identifying the need for character education based on Pancasila values. 70% of teachers felt the need for a curriculum that teaches Pancasila values in a structured way.
- b. Organization: Establish the structure and components of the program, including learning objectives, core competencies, and basic competencies.
- c. Implementation: The pilot test of the curriculum at PAUD Jagung showed positive results, with 88% of learners achieving "Developing as Expected" and 12% "Developing Very Well", with no learners in the "Not Yet Developing" or "Starting to Develop" categories.
- d. Monitoring: Pre-test and post-test evaluations showed an increase in learner development from "Beginning to Develop" to "Developing as Expected", demonstrating the success of this curriculum.
- e. The curriculum integrates 10 of the 18 national character-building values (Syarbaini, 2011), namely: sincerity, unity, mutual cooperation, deliberation, cooperation, harmony, patriotism, simplicity, dignity and self-respect, and hard work. Validation by validators and active learning methods support the successful implementation of this curriculum.

REFERENCES

- [1] Law No. 20 of 2003 on the National Education System
- [2] Indrawan, Irjus, Wijoyo, Hadion, and Wiguna, I Made Arsa. (2020). *Character Education Management*. South Purwokerto; CV. Pena Persada (MANAGEMENT OF CHARACTER EDUCATION-ASSOCIATED.pdf) (Accessed on November 16, 2023)
- [3] Regulation of the Minister of Education and Culture of the Republic of Indonesia Number 146 of 2014 concerning the 2013 Curriculum for Early Childhood Education
- [4] Mustofa, Taufik, Muzaki, Iqbal, Amar, Hasanah, Aan, Arifin, Bambang, Samsul. (2022). *Character Education Based on Pancasila*. HAWARI Journal of Religious Education and Islamic Religion. Vol. 3 No 1, 134-139. Obtained from <https://journal.unsika.ac.id/index.php/hawari/article/view/6800>
- [5] Sewang, H. Anwar, DR. M.Ag. (2015). *EDUCATION MANAGEMENT*. Malang: Wineka Media (M. PEND. DR ANWAR SEWANG.pdf) (Accessed on November 21, 2023)
- [6] Liu, J., & Wang, R.-Y. (2024). Analysis of Spatial and Temporal Changes in Land Use in Lushan City over the Past 20 Years. In *International Journal of Rural Development, Environment and Health Research* (Vol. 8, Issue 2, pp. 75–85). <https://doi.org/10.22161/ijreh.8.2.9>
- [7] Sudarman, DR., S.Pd., M.Pd. (2019). *CURRICULUM DEVELOPMENT, Theory &*
- [8] *National Education System Law Number 20 of 2003 and Government Regulation Number 19 of 2005*
- [9] Mehta, A., Niaz, M., Adetoro, A., & Nwagwu, U. (2024). Advancements in Manufacturing Technology for the Biotechnology Industry: The Role of Artificial Intelligence and Emerging Trends. In *International Journal of Chemistry, Mathematics and Physics* (Vol. 8, Issue 2, pp. 12–18). <https://doi.org/10.22161/ijcmp.8.2.3>
- [10] Hamalik, Oemar. (2006). *Education Management*. Bandung: Alumni Publisher.
- [11] Syarbaini, H. Syahril, Dr. M.A. (2011). *Pancasila Education (Implementation of National Character Values) in Higher Education*. Bogor: Ghalia Indonesia.
- [12] Regulation of the Minister of Education, Culture, Research and Technology of the Republic of Indonesia No. 7 of 2022 on Content Standards in Education

Key Problems and Solutions in Teaching Turkish as a Foreign Language: A Literature Review

Kawar Abdulqader

Instructor, Duhok, Faculty of Humanities, Department of Turkish Language and Literature, University of Zakho, Iraq
Kawar.abdulqader@uoz.edu.krd

Received: 25 Aug 2024; Received in revised form: 27 Sep 2024; Accepted: 03 Oct 2024
©2024 The Author(s). Published by TheShillonga. This is an open-access article under the CC BY license
(<https://creativecommons.org/licenses/by/4.0/>)

Abstract

This study aims to examine the key issues encountered in teaching Turkish as a foreign language and proposes solutions to these problems through a literature review. The research identifies core problem areas such as teaching materials, teaching methods, student motivation, language proficiency, cultural differences, and teacher competencies. It also evaluates how these problems affect the teaching process. Findings reveal that students face difficulties in language learning when teaching materials are not aligned with their level, teaching methods are limited, and teachers lack sufficient training. Additionally, it is emphasized that strategies to increase student motivation and cultural awareness must be developed. The proposed solutions include adapting teaching materials to students' language levels, providing in-service training for teachers, increasing the use of technology, and promoting cultural integration.

Keywords— Teaching Turkish as a foreign language, teaching materials, teaching methods, cultural differences, teacher competencies, student motivation.

I. INTRODUCTION

The teaching of Turkish as a foreign language has become an important topic globally due to increasing interest in recent years. While the teaching of Turkish as a foreign language has historical roots, it has gained even more value today in terms of academic, commercial, and cultural interactions. The growing number of individuals learning Turkish has led to the proliferation of academic studies and teaching programs in this field. In this context, research on teaching Turkish to foreigners has also gained significant momentum in recent years (Göçer, Tabak & Coşkun, 2020).

According to Tunçel (2015), teaching Turkish as a foreign language is particularly important in terms of education and career opportunities. Studies reveal that among the factors motivating individuals to learn Turkish are personal development, cultural integration, and job opportunities. Learning Turkish is considered a critical skill for students who wish to pursue higher education in Turkey, increasing their interest and motivation in the language.

Learning a foreign language is not limited to learning grammatical rules; it also requires understanding the cultural elements of the target language. Students' learning of the target language's culture facilitates the language

learning process and provides them with new perspectives (Sarıkaya et al., 2023, p. 395).

Divanü Lügati't-Türk is considered one of the first works in teaching Turkish as a foreign language. Although this work is referred to as a "dictionary," it offers a rich data source for teaching Turkish as a foreign language through its inclusion of Turkish dialects, phonetic features, morphology, and word analyses (Mete, 2012, p. 103). As such, it represents an important starting point for the systematic teaching of Turkish as a foreign language.

Although Turkish is a language that foreigners wish to learn today, it is not always possible to claim that it is taught systematically with scientific data, methods, and techniques (Bulut, 2020, p. 377). This issue also applies to students learning foreign languages in Turkey. According to the study "Postgraduate Students' Foreign Language Tendencies and the Problem of Foreign Language in Academia" by Bayındır and Kara (2019), foreign language education in Turkey, from primary to high school, tends to be repetitive and lacks practical application. The study reveals that participants received superficial, rote-based education in schools, leading to a lack of progress in the language learning process and causing students to develop

prejudices against foreign languages. Particularly, students face great difficulties in speaking skills and struggle to develop this skill. Additionally, academic language proficiency exams like YDS and YÖKDİL focus solely on reading comprehension and fail to fully reflect language use skills.

The purpose of this study is to identify the key problems encountered in teaching Turkish as a foreign language and propose solutions based on existing literature. The study's unique contribution is to present a more holistic perspective by addressing the relationships between these problems. Issues such as student motivation, teacher competencies, teaching materials, and cultural differences have been analyzed in terms of how they interact. In particular, this study deeply examines the impact of teacher competencies on teaching materials and the relationship between student motivation and challenges in the language learning process.

In this context, the research questions are as follows:

Research Questions

1. What are the main problems encountered in teaching Turkish as a foreign language?
2. What challenges do teaching materials and resources present in teaching Turkish as a foreign language?
3. How do teachers' methodological deficiencies cause problems in teaching Turkish as a foreign language?
4. How do students' cultural differences affect the process of learning Turkish as a foreign language?
5. What challenges arise from the mismatch between students' language proficiency and the curriculum in teaching Turkish as a foreign language?
6. What are the proposed solutions to the problems encountered in teaching Turkish as a foreign language?

II. LITERATURE REVIEW

General Overview of Teaching Turkish as a Foreign Language:

The motivation levels of international students learning Turkish as a foreign language have been examined. The study found that instrumental motivation varies across countries, with Iranian students showing higher motivation compared to students from other countries. However, intrinsic and cultural motivations did not show significant differences in terms of country, age, or language level (Yağmur, 2021, p. 1637).

Başar (2018) highlighted the lack of standardization in teaching Turkish in Afghanistan, noting that war conditions have complicated the process. While the Yunus Emre

Institute's "Yedi İklim" series is widely used, there is no general standard for language teaching. The study emphasized the need for a language teaching policy specific to Afghanistan.

Başar (2020) also developed policy recommendations for teaching Turkish as a foreign language in the Islamic Republic of Iran. Due to the historical and cultural ties between Turkey and Iran, the importance of Turkish teaching in Iran has increased, but current programs are not coordinated and lack a standard structure. The study emphasized the need for different teaching approaches and materials for Persian-speaking and Turkish-speaking learners and argued that institutions like the Yunus Emre Institute should develop a Turkish teaching strategy tailored to Iran.

According to Hasan Fehmi Erol's (2019) study "Readability of Texts in Turkish Language Textbooks for Foreigners," the texts in textbooks used to teach Turkish to foreigners must be appropriate for students' language levels. The length of words and sentences, along with word frequency, directly affect the efficiency of these texts in language teaching. The study calculated readability scores of texts from four different Turkish textbooks and found a 27% difference in readability, indicating significant variation in the readability of texts prepared for the same level.

Speaking skills are crucial in teaching Turkish as a foreign language due to the communicative function of the language. Together with listening skills, speaking is one of the most commonly used language skills in daily life. Therefore, students learning Turkish as a foreign language must develop these skills effectively and correctly (Günaydın, 2021).

According to Şen and Boylu (2015), speaking skills are particularly challenging for students learning Turkish. Students tend to avoid speaking due to anxiety about correct pronunciation, which negatively impacts their success. Additionally, speaking anxiety does not vary based on factors such as age, gender, or educational status, but it has been observed that regularly conversing with a native Turkish speaker helps reduce anxiety levels.

In the integration process, language is a fundamental condition for adapting to society. Language and integration courses in Germany, for example, serve as important tools to facilitate the participation of immigrants in society. However, it has been noted that short-term courses make it difficult to learn complex languages like German (Özbent, 2008).

Cultural differences play a crucial role in the language learning process. Authentic materials, especially brochures, can increase students' interest in the target language by conveying cultural elements in language teaching. These

materials help bridge language and culture by reflecting the lifestyle and values of a society (Tanrıku & Çelik, 2019).

According to Keskin (2024), the competencies of educators are crucial in providing effective teaching of Turkish as a foreign language. Teaching Turkish as a foreign language requires not only grammar instruction but also a comprehensive and practical education process aimed at developing students' language usage skills. In this context, the importance of teacher training programs for educators in teaching Turkish as a foreign language is emphasized.

Problems Encountered in Teaching Turkish as a Foreign Language:

Among the fundamental problems encountered in teaching Turkish as a foreign language are the lack of materials, inadequacy of textbooks, and the absence of a natural language usage environment. Additionally, teachers' lack of grammar knowledge and insufficient specialized training are other significant factors complicating the teaching process. While the use of a common language can sometimes cause confusion in communication, the lack of expertise in language teaching techniques also negatively impacts the process (Metel, 2012, p. 122).

In his study, İşcan (2020) evaluated various problems in teaching Turkish as a foreign language. The absence of a dedicated undergraduate program and the shortage of qualified instructors are seen as key issues. İşcan emphasized the need for a suitable teaching program for Turkish as a foreign language, pointing out that the failure to develop existing programs based on needs analysis has led to problems. Furthermore, the lack of teachers' competence in methods and techniques causes difficulties for students in their language learning processes. The study found that students experience the most difficulty in writing and grammar, and it proposed a constructivist approach to address these issues.

According to Tiryaki (2013), there are many challenges in developing writing skills when teaching Turkish as a foreign language. The structure of the Turkish language, particularly the differences in syntax, creates significant obstacles for foreign learners. For example, while the word order in English is subject+verb+object, in Turkish it is subject+object+verb. This difference causes students to make mistakes when forming sentences. Additionally, the difficulty in developing sufficient vocabulary and the proper use of grammatical structures create major barriers to improving writing skills. Students struggle to construct meaningful and coherent paragraphs and find it challenging to express their ideas logically at the text level (Tiryaki, 2013).

According to Balcı and Melanlıoğlu (2020), the main issues encountered in the process of teaching Turkish as a foreign

language include the quality of instruction, lack of materials, and inadequacy of content that meets students' learning needs. In this process, the lack of specific standards for Turkish and insufficient content stand out as major problems.

Derya and Demet Yaylı (2014) indicated that one of the main challenges faced by students learning Turkish as a foreign language is focusing solely on the structural features of the language. Traditional language teaching tends to focus heavily on grammar and spelling rules, while neglecting contextual factors. This makes it difficult for students to understand how the language is used in real communication contexts. Students learning Turkish struggle not only with following the rules of the language but also with using it naturally and fluently in communication.

In their study, Halime Barış and Ülker Şen (2019) examined the writing anxiety of university students learning Turkish as a foreign language. The study indicated that anxiety is associated with negative emotions like fear and worry. Writing anxiety is particularly high in foreign language learning, and this anxiety negatively affects students' success. The research found no significant impact of gender on writing anxiety, but students' environment-related anxieties were higher than task-related anxieties. Additionally, it was observed that as students increased the frequency of their writing practice, their anxiety levels decreased.

According to Emek and Feyzioğlu (2024), students learning Turkish face the most challenges in speaking and listening skills. Additionally, difficulties in accessing materials such as dictionaries, workbooks, and films pose significant barriers in the Turkish learning process. The lack of materials for learning Turkish in Algeria and the failure of teaching programs to fully meet students' needs are other issues. Students, in particular, experience inadequacies in learning how Turkish is used in everyday life. The lack of technology-based materials (e.g., computers, electronic dictionaries) is also cited as a factor hindering the learning process.

According to Tunçel (2015), one of the main problems faced by students learning Turkish is high anxiety levels. High anxiety negatively impacts students' motivation to learn. Students who experience anxiety about attending language classes and preparing for lessons encounter significant difficulties in their language learning processes. It was also noted that male participants exhibited higher motivation towards learning Turkish compared to females.

The challenges in teaching Turkish include grammar instruction, speaking and listening skills, and writing skills. It has been noted that learning Turkish suffixes is difficult,

that non-native speakers particularly struggle with listening and speaking skills, and that creative and academic activities play a key role in the development of writing skills (Özdemir, 2023).

Recommendations Regarding the Teaching of Turkish as a Foreign Language

İnal (2023) emphasizes the need to shape the teaching of Turkish as a foreign language according to the pedagogical needs of different age groups. The learning styles, needs, and expectations of different age groups create significant differences in the design of teaching programs and materials. İnal highlights the importance of developing teacher competencies and teaching methods according to the age group.

In his study, Zeyrek (2020) emphasizes the importance of teaching not only the rules but also the cultural elements in teaching Turkish as a foreign language. This enables students to learn the language more effectively.

Akay, Bağlar, Uslu, Sorgu, and Bağlar (2024) point out that pronunciation training improves students' speaking skills and prevents misunderstandings. Additionally, they highlight the importance of pronunciation training due to the differences between Turkish phonetics and the students' native languages.

According to Şen and Boylu (2015), the most effective strategy for improving speaking skills is to create environments outside of classroom activities where students can use the language in their daily lives. These practices are noted to be effective in reducing students' speaking anxiety and improving their success in language learning. Furthermore, a certain level of anxiety is said to be motivating in language learning.

Şeylan (2013) argues that grammar should be taught simultaneously with the five core skills (speaking, listening, reading, writing, and comprehension) in teaching Turkish as a foreign language. He focused on teaching the present tense at the A1 level and suggested that it is the most appropriate tense for beginner students. Şeylan also notes that using visual tools such as gestures, facial expressions, and dramatization can make learning easier.

Özbal (2020) emphasizes the importance of ensuring that self-learning materials are simple, clear, and understandable. These materials should guide the student's learning process through appropriate language levels, content organization, and evaluation sections.

Benzer (2020) underscores the importance of adopting a functional approach to teaching grammar in Turkish as a foreign language. This approach aims to enable students to use the language in real communication situations rather than merely teaching grammar rules.

Türkben (2018) states that higher quality teaching materials need to be developed for teaching Turkish as a foreign language. In this regard, new research should be conducted, and strategies that facilitate language learning should be developed. In conclusion, Türkben suggests that both quantitative and qualitative research in the field of teaching Turkish as a foreign language should be increased, and the studies should be approached from a broader perspective.

Özdemir (2023) emphasizes the need to use appropriate teaching materials to overcome grammatical challenges, adopt activity-based approaches, and use technology effectively as a teaching tool. Materials should be suitable for students, simple, and understandable, and exercises should be meaningful and interactive to enhance language learning success. He also highlights the importance of technology as a supportive tool in language teaching.

According to Tiryaki (2013), writing education should be conducted through a gradual process. These stages include teaching the alphabet, words, sentences, paragraphs, and text creation. Additionally, teachers should guide students during the writing process and provide feedback appropriate to their level. Various text types and writing methods should be used to improve students' writing skills.

III. METHODOLOGY

This study was conducted using a review model with the aim of identifying the problems encountered in teaching Turkish as a foreign language and evaluating potential solutions. The review model is a method that involves examining the existing literature to compile and evaluate the knowledge accumulated on a particular subject. The methodological steps of the study are detailed below:

Literature Selection and Review Process

In this study, national and international research related to the main problems and solution suggestions in teaching Turkish as a foreign language was reviewed. These studies were selected from articles, book chapters, and conference papers published especially in the last 10 years. The literature compiled from academic databases like DergiPark formed the foundation of the study. The relevance of the selected literature was determined through keyword searches (e.g., “teaching Turkish as a foreign language,” “teaching materials,” “teacher competencies”).

Data Collection Method

In the literature review, specific inclusion criteria were taken into account when determining the studies to be included. For example, being directly related to the teaching of Turkish as a foreign language and focusing on methodological problems in language teaching and their solution suggestions were among the criteria. The reviewed

literature was used in the qualitative data collection process and systematically categorized for the purpose of analyzing the problems (e.g., teaching materials, teaching methods, cultural differences).

Data Analysis Method

In analyzing the collected data, the content analysis method was used. The findings from the literature were grouped around specific themes (e.g., lack of materials, teacher competency issues, student motivation), and solution suggestions were evaluated accordingly. Moreover, the results of each study were thoroughly examined, and findings that aligned with existing problems were identified. These findings were discussed in more detail in the conclusion section of the study.

Limitations

Since this study is literature review-focused, it is limited to the sources found in the literature. Access to all studies in the field may not have been possible, and therefore, some research may have been overlooked in more comprehensive studies. Additionally, the results of the study are not supported by data from practical applications; thus, further field research on problems encountered in practice may be needed.

Findings

This research, based on a literature review, grouped the fundamental problems encountered in teaching Turkish as a foreign language under various headings.

Lack of Teaching Materials and Resources

The inadequacy of textbooks and other materials in matching students' language levels negatively affects the learning process (Başar, 2018; Erol, 2019). This issue is also directly related to teacher competencies. When teachers are not sufficiently trained to use materials efficiently, this deficiency prevents them from offering appropriate lesson content to students. This deepens the problem concerning both teacher competence and the effectiveness of the teaching materials.

Shortcomings in Teaching Methods

Teachers' lack of mastery over modern language teaching methods also reduces student motivation during the language learning process (İşcan, 2020). Students may lose interest in traditional methods used in the classroom, which can hinder the development of their language skills and negatively affect their motivation. Furthermore, a decline in student motivation, combined with the inability to enrich teaching methods, can escalate the problem.

Student Motivation and Anxiety:

A lack of motivation negatively affects student performance. However, this deficiency is not only

dependent on the student's internal motivation; it is also directly related to language level, the teaching materials used, and teacher competence. When the student's language level does not match the materials or the teacher is unable to provide adequate guidance, the student may lose interest in learning the language (Yağmur, 2021; Tunçel, 2015).

Cultural Differences and Integration Issues:

Cultural differences among students are significant factors that influence the language learning process (Zeyrek, 2020). If teachers do not consider these cultural differences or if the materials lack cultural context, student motivation can decrease, leading to problems in the teaching process. Therefore, it is essential for teachers to develop cultural awareness and to adjust the teaching materials accordingly.

Language Level and Curriculum Mismatch:

The lack of materials suitable for students' language levels prevents teachers from developing appropriate teaching strategies (Balcı & Melanlıoğlu, 2020). The misalignment between the curriculum and student needs negatively impacts both teachers and students, hindering the language learning process.

Teacher Competencies:

Teacher competency deficiencies directly impact the use of teaching materials and student motivation. Teachers who have not received adequate training may struggle to use materials effectively and fail to provide the necessary support to students (Keskin, 2024). This situation reduces the quality of teaching and slows down students' language learning processes.

Lack of Technological and Material Support:

The limited use of technology-based learning tools is related both to teacher competencies and the need to update teaching materials. A lack of technological tools can prevent teachers from enriching classroom activities and reduce students' interest in the language learning process (Emek & Feyzioğlu, 2024).

These findings show that the fundamental problems encountered in teaching Turkish as a foreign language span a wide range, from teaching materials and methods to student motivation, teacher competence, and cultural differences.

INDENTATIONS AND EQUATIONS

The first paragraph under each heading or subheading should be flush left, and subsequent paragraphs should have a five-space indentation. A colon is inserted before an equation is presented, but there is no punctuation following the equation. All equations are numbered and referred to in the text solely by a number enclosed in a round bracket (i.e., (3) reads as "equation 3"). Ensure that any miscellaneous

numbering system you use in your paper cannot be confused with a reference [4] or an equation (3) designation.

IV. CONCLUSION

This study examines the fundamental issues encountered in teaching Turkish as a foreign language through existing literature, revealing that these problems stem from various factors. Key issues include the inadequacy of teaching materials, limited teaching methods, differences in student motivation and anxiety levels, the impact of cultural differences on the language learning process, and the insufficient qualifications of teachers. Additionally, a lack of technological and material support creates significant obstacles in students' language learning journeys. Addressing these challenges is critical for enabling learners of Turkish as a foreign language to have a more effective and productive learning experience.

Recommendations:

Rather than offering general solutions to the challenges in teaching Turkish as a foreign language, more specific strategies need to be developed. The following recommendations outline concrete steps for each problem area:

1. Teaching Materials and Resources:

Teaching materials must not only be adjusted to the students' language levels but also incorporate the cultural context of the target language. Readability analyses should determine the appropriateness of textbooks, and programs to develop leveled materials should be implemented. Additionally, e-learning platforms should be established to develop digital teaching materials and interactive content, making them easily accessible to students. A comprehensive needs analysis should be conducted regularly by gathering feedback from students to ensure materials are developed in line with their needs.

2. Teaching Methods:

Teachers should move away from grammar-based instruction and adopt methods that focus on developing communicative and functional language skills. In-service training programs should be organized, introducing interactive teaching techniques, student-centered approaches, and modern methods such as gamification in language learning, supported by practical training. To expand the reach of these methods, teacher mentoring programs should be implemented. Experienced teachers can guide new colleagues to address methodological shortcomings.

3. Student Motivation and Anxiety:

To increase student motivation, it is important to provide a learning environment that emphasizes not only grammar but also cultural elements. Language learning activities (such as film viewings, language workshops, and cultural trips) should be organized to foster students' integration into the target language and culture. Additionally, a special training program for teachers on anxiety management should be developed. These programs should teach strategies for reducing students' anxiety during the language learning process. Motivation-boosting practices, such as regularly acknowledging and rewarding student achievements, should also be incorporated into the learning process.

4. Teacher Training:

Long-term teacher training programs must be organized to ensure that teachers are proficient in modern language teaching techniques. These programs should not only focus on grammar instruction but also cover cultural integration, enriching teaching methods with technology, and planning lessons for various language levels. The training should be modular, with certification processes to evaluate teacher performance at the end of each module. Teachers should also be encouraged to participate in international language teaching conferences, where they can learn about new teaching strategies and methods.

5. Technological Support:

To enhance the use of technological tools in language teaching, classroom technological infrastructure needs to be improved. Each classroom should have at least one smart board, internet access, and applications designed for language learning. Students should be given constant access to mobile language learning apps and e-learning platforms, and teachers should receive training on integrating technology effectively into their teaching. Additionally, online language conversation clubs can be established to provide students with more opportunities for practice.

6. Cultural Integration:

Language learning materials should not focus solely on teaching grammar or vocabulary but should also aim to enhance students' cultural awareness. Cultural activities, language clubs, and international student exchange programs should be integrated into the language learning process. Moreover, a learning environment that respects students' own cultural backgrounds should be created, turning these differences into learning opportunities within language teaching.

REFERENCES

- [1] Akay, A., Bağlar, A., Uslu, A., Sorgu, E., & Bağlar, K. (2024). Yabancı dil olarak Türkçe öğretiminde sesletim

- eğitimi. *Uluslararası Türk Dünyası Araştırmaları Dergisi*, 7(3), 201-212. <https://doi.org/10.59182/tudad.1448731>
- [2] Balcı, M., & Melanlioğlu, D. (2020). Türkçenin yabancı dil olarak öğretimi programı üzerine. *Kırıkkale Üniversitesi Sosyal Bilimler Dergisi*, 10(2), 173-198.
- [3] Barış, H., & Şen, Ü. (2019). Yabancı dil olarak Türkçe öğretiminde yazma kaygısı. *Journal of Language and Linguistic Studies*, 4(2), 73-99.
- [4] Başar, U. (2018). Afganistan'da yabancı dil olarak Türkçe öğretimi üzerine güncel bir değerlendirme. *Aydın Tömer Dil Dergisi*, 3(1), 1-20.
- [5] Başar, U. (2020). Yabancı dil olarak Türkçe öğretimi politikası bağlamında İran İslam Cumhuriyeti. *Journal of Language Education and Research*, 6(1), 201-215. <https://doi.org/10.31464/jlere.651927>
- [6] Bayındır, G., & Kara, B. (2019). Lisansüstü öğrencilerin yabancı dil eğilimleri ve akademide yabancı dil sorunu. *Millî Kültür Araştırmaları Dergisi*, 3(1), 1-14.
- [7] Bulut, S. (2020). Türkçenin yabancı dil olarak öğretimi sertifika programının kursiyerlerin gözünden değerlendirilmesi. *Journal of Language Education and Research*, 6(2), 376-392. <https://doi.org/10.31464/jlere.678037>
- [8] Çekici, Y. E. (2020). Kitap incelemesi: Yabancı dil olarak Türkçe öğretiminde işlevsel dil bilgisi. *Journal of Language Research*, 4(1), 104-106.
- [9] Emek, M., & Feyzioğlu, N. (2024). Türkçenin yabancı dil olarak öğretiminde dil ihtiyaç analizi: Cezayir örneği. *Kahramanmaraş Sütçü İmam Üniversitesi Sosyal Bilimler Dergisi*, 21(2), 446-463. <https://doi.org/10.33437/ksusbd.1506487>
- [10] Erol, H. F. (2019). Yabancı dil olarak Türkçe ders kitaplarında okunabilirlik. *Türk Dili ve Edebiyatı Dergisi*, L, 30-37.
- [11] Göçer, A. (2012). Dil kültür ilişkisi ve etkileşimi üzerine. *Türk Dili*, 50-57.
- [12] Göçer, A., Tabak, E., & Coşkun, B. (2020). Türkçenin yabancı dil olarak öğretimi kaynakçası. *Türklük Bilimi Araştırmaları*, 32, 73-126.
- [13] Günaydın, Y. (2021). Türkçenin yabancı dil olarak öğretiminde konuşma kulüpleri. *EKEV Akademi Dergisi*, 25(85), 531-544.
- [14] İnal, E. (2023). Pedagogy of different age groups in foreign/second language teaching. *RumeliDE Journal of Language and Literature Studies*, S12, 114-123. <https://doi.org/10.29000/rumelide.1331484>
- [15] İşcan, A. (2020). Türkçenin yabancı dil olarak öğretiminin sorunlarına ilişkin bir değerlendirme. *Journal of Social Sciences*, 5(1), 119-138.
- [16] Keskin, F. (2024). Yabancılara Türkçe öğretimi alanında uygulamalı bir öğretmen eğitimi programı: Yabancı dil olarak Türkçe öğretimi öğretmen akademisi. *RumeliDE Dil ve Edebiyat Araştırmaları Dergisi*, 39, 184-201. <https://doi.org/10.29000/rumelide.1469402>
- [17] Mete, F. (2012). Yabancı dil olarak Türkçe öğretimine ilişkin öğretmen görüşlerinin değerlendirilmesi. *Dede Korkut Türk Dili ve Edebiyatı Araştırmaları Dergisi*, 1(1), 102-125.
- [18] Özbal, B. (2020). Kendi kendine yabancı dil olarak Türkçe öğrenimi ders kitapları. *Uluslararası Türkçe Edebiyat Kültür Eğitim (TEKE) Dergisi*, 9(4), 1602-1615.
- [19] Özbent, S. (2008). Entegrasyon Sürecinde Dilin Önemi: Türkiye'deki Entegrasyon Kursları. *Avrupa Araştırmaları Dergisi*, 16(1-2), 25-34.
- [20] Özdemir, Y. (2023). Etkinlik temelli yabancı dil olarak Türkçe öğretimi (kuramdan uygulamaya) üzerine bir inceleme. *Aydın Tömer Dil Dergisi*, 8(2), 421-432.
- [21] Sarıkaya, E. E., Doymuş, İ., Akkaya, S., & Kana, F. (2023). Yabancı dil olarak Türkçe öğrenenlerin Türk kültürüne ilişkin algıları. *Aydın Tömer Dil Dergisi*, 8(2), 393-420. https://doi.org/10.17932/IAU.TOMER.2016.019/tomer_v08i2008
- [22] Şen, Ü., & Boylu, E. (2015). Türkçeyi yabancı dil olarak öğrenen İranlı öğrencilerin konuşma kaygılarının değerlendirilmesi. *Mustafa Kemal Üniversitesi Sosyal Bilimler Enstitüsü Dergisi*, 12(30), 13-25.
- [23] Şeylan, A. (2015). Yabancı dil olarak Türkçe öğretimi: Şimdiki zamanı öğretme tekniği. *Beykent Üniversitesi Sosyal Bilimler Dergisi*, 6(1), 29-47.
- [24] Tanrıku, L., & Çelik, S. (2019). Yabancı Dil Olarak Türkçe Öğretiminde Broşürlerin Kültür Aktarımında Kullanımı. *Alman Dili ve Kültürü Araştırmaları Dergisi*, 1(2), 62-73.
- [25] Tiryaki, E. N. (2013). Yabancı dil olarak Türkçe öğretiminde yazma eğitimi. *Ana Dili Eğitimi Dergisi*, 1(1), 38-44. <https://doi.org/10.16916/aded.16018>
- [26] Tunçel, H. (2015). Yabancı dil olarak Türkçeye yönelik motivasyon algısı. *Mustafa Kemal Üniversitesi Sosyal Bilimler Enstitüsü Dergisi*, 11(28), 177-198.
- [27] Türkben, T. (2018). Yabancı dil olarak Türkçe öğretimi alanında yapılan lisansüstü çalışmaların değerlendirilmesi. *Uluslararası Türkçe Edebiyat Kültür Eğitim (TEKE) Dergisi*, 7(4), 2464-2479.
- [28] Yağmur, Ş. K. (2021). Yabancı dil olarak Türkçe öğrenen uluslararası öğrencilerin motivasyon durumları. *Kahramanmaraş Sütçü İmam Üniversitesi Sosyal Bilimler Dergisi*, 18(3), 1628-1639. <https://doi.org/10.33437/ksusbd.1001250>
- [29] Zeyrek, S. (2020). Dil-kültür ilişkisi doğrultusunda yabancı dil öğretimi. *Uluslararası Yabancı Dil Olarak Türkçe Öğretimi Dergisi*, 3(2), 165-186.

AI Development in Germany After the Publication of German Nation AI Strategy, Problems and Solutions

Reza Nicknam¹, Seyyed Rouhollah Hadj Zargarbashi², Abtin Safavipour^{3,*}

¹Ph.D. in International Relations

²Assistant Professor of the Department of International Relations, Allameh Tabataba'i University, Tehran, Iran

³MA in Studies of German-speaking Countries

*Corresponding Author

Received: 19 Aug 2024; Received in revised form: 23 Sep 2024; Accepted: 01 Oct 2024

©2024 The Author(s). Published by TheShillonga. This is an open-access article under the CC BY license
(<https://creativecommons.org/licenses/by/4.0/>)

Abstract

Germany's effort to develop AI and make progress in this field became coherent and systematic after the publication of the German National AI Strategy in 2018. Germany's effort in AI development has four trends, namely the integration of AI in society and economy, building and maintaining the AI ecosystem, strengthening the country in terms of infrastructure and data, and finally research and development, which constitutes the essence and backbone of all the other trends. To drive its efforts forward in each trend, Germany should overcome the respective challenges. Furthermore, due to the novelty of the subject of AI and its fast-developing nature, AI has posed some challenges and issues in legal, political, and social fields that need to be addressed swiftly. Germans dominantly address these challenges either on national or European levels and mainly resort to research and academia, their mighty industrial sector, and legislation on federal and European levels to do so.

Keywords— AI, foreign policy, Germany, Regional Studies, Technology and international relations

I. INTRODUCTION

Due to its vast applications in various fields like health care, transportation, finance, and national security, and also because of its rapid development, Artificial Intelligence is viewed as a transformative entity and a novel subject. Therefore, we witness international competition over resources related to AI, and different countries are devising plans and strategies to gain the upper hand in developing AI and benefiting from it. Germany has joined the league of countries that devised and published their plans and strategies for AI development in 2018, to strengthen its position in the global competition over AI, guarantee the development of AI responsibly and ethically, and facilitate the proliferation of its application in the society and economic sectors in a way that is in line with European values (Die Bundesregierung, 2018c). Germany has a rich record of innovation and vast industrial and scientific infrastructures and resources. There has been a research center in Germany dedicated to research in the field of AI for more than three decades, which is called DFKI¹, and makes this country one of the pioneers of AI research

(DFKI). Although Germany is one of the pioneers of AI research and has a strong position in terms of industrial and academic strength to support research and development of AI and facilitate its application and use in society and economy, it is not considered a leading actor in the international arena in terms of research, development, and use of AI, nor has been successful in harvesting the benefits of AI compared to other countries that have similar technological, financial, and political status as Germany (BMBF, 2023). In this paper, we will go through the official documents, reports, and official websites of the German government, the EU, and non-governmental organizations in Germany that are active in the field of AI and technology. we examine these documents using the method of archival research and aim to answer the following questions:

Main Question: What are the challenges and problems that hindered Germany's progress in the field of AI?

Sub Question: How the German government is addressing these problems

¹ Deutsches Forschungszentrum für Künstliches Intelligenz

and challenges to push Germany's progress in the field of AI forward?

II. LITERATURE REVIEW

From the perspective of the European Economic and Social Committee, AI as the key concept in this research, has no single and precise definition, rather AI is a general main concept that includes several sub-concepts. Among these sub-concepts, we can mention 'Cognitive Calculation', 'Machine Learning', 'Augmented Intelligence', and 'Robotic AI' (EESC, 2017). According to the European Commission, AI is a system that possesses some level of authority and independence and can demonstrate intelligent behavior following an analysis and scan of the surrounding area, to achieve a certain objective (European Commission, 2018). Now that we understand, what is meant by AI in general from the perspective of official European documents, it is reasonable to look at the definition that "Desouza" has provided as he defines AI concerning government, which we believe is very relevant to this research, based on its scope and research question. AI in government refers to the design, construction, use, and evaluation of cognitive computing and machine learning to improve the management of government organizations and the decisions of leaders, to design and implement public policies, and to improve related governance mechanisms (Desouza, 2019).

There is high competition internationally between different countries to gain the upper hand and leading position in AI. Countries like China, the US, the UK, and Germany are in this competition (Savage, 2020). Discussion over AI is no longer limited to computer scientists and AI specialists, rather politicians and sociologists assert the importance and transformative nature. For example, the Russian president in 2017 said that whoever takes the lead in Artificial Intelligence will dominate the world (RT, 2017). Angela Merkel in 2018 said that AI is vital for Germany's growth and prosperity (Die Bundesregierung, 2018a). Furthermore, the German government recognizes AI as the key to the future world. Therefore they aim to turn Germany into a globally competitive actor in the field of AI research, development, and use (Die Bundesregierung, 2020). The first nation that publish an AI national strategy was Canada in 2017. Germany published its AI national strategy in 2018 and now we have more than 17 countries worldwide that published their strategies (Radu, 2021). Before publishing

their national strategy for AI, Germans' rhetoric about governance and policy-making regarding AI was scattered. The publication of this document helped make Germany's efforts in governing and devising policies in the field of AI more coherent (Lemke et al., 2023). Through this strategy, the Germans aimed to allocate more support to developing AI in Germany and Europe and implement specific features based on European values to its development (Die Bundesregierung, 2018b).

There was a significant amount of research and development efforts in the field of AI in Germany, even before the publication of this country's national AI strategy. Devising this document helped Germany to stabilize and improve its position in AI research, development, and proliferation by introducing mechanisms for investment in this field, funding research, and acting in a more coherent way towards achieving Germany's goals in the field of AI (Savage, 2020, European Commission, 2021a). Implications of the effect of this strategy on Germany's AI development financially is that Germany invested 500 million euros in this sector in 2024, which shows an increase in investment that amounts to 200 million euros compared to the year before (Matthews, 2023). There is a network of six progressive national AI competence centers in Germany that includes DFKI², BIFOLF³, MCML⁴, The Lamarr Institute for Machine Learning and Artificial Intelligence⁵, SCADS.AI⁶, and TÜAI⁷. Apart from DFKI which was established in 1988, all the other centers have been created as a direct result of Germany's national AI strategy. This demonstrates the commitment of the Germans to make progress in AI technology. The Network of National Centers of Excellence for AI Research creates the foundations for the development of a futuristic AI in Germany (BMBF, 2022b). Another implication of the effect of the strategy and approach of Germany in AI policy-making nationally and internationally is Germany's effort to implement democratic values and human rights as main principles in AI development (Radu, 2021). Based on a collective view of the accessible documents regarding AI in Germany, one can claim that Germany's ultimate goal is to mobilize AI and all the efforts related to its development and proliferation to the benefit of public interests in this country. Furthermore, policy-making and governing AI in Germany follows a pattern of strategic investments, moral and value considerations, and international cooperations.

² Deutsches Forschungszentrum für Künstliche Intelligenz, German research center for AI, created in **1988**

³ The Berlin Institute for the Foundations of Learning and Data, created in **2019**

⁴ Munich Center for Machine Learning, created in **2018**

⁵ Created in **2022**

⁶ Center for Scalable Data Analytics and Artificial Intelligence, created in **2019**

⁷ Tübingen AI center, created in **2023**

III. METHODOLOGY

According to Weber, a government or state is a bureaucratic and administrative facility, in which political decisions and executive processes, which include legislation, orders, and policies, can be monitored and tracked (Weber, 1980). Therefore, to highlight *the challenges and problems that hindered Germany's progress in the field of AI from the perspective of official documents* and to understand *how the German government is set to alleviate the problems* archival research is the appropriate method because it is concentrated on the investigation of the effects and activities of a bureaucratic system, like a government, think tanks, or non-governmental foundations and associations, in a particular country, in a specific field (Friedrich, 2022). In this essay we investigate the effects and activities of the bureaucratic systems, like the EU, the Bundesregierung⁸, think tanks, and non-governmental foundations and associations, in Germany, about AI, its development, the problems and challenges related to it, and the measures taken by the bureaucratic system to alleviate them. Therefore, archival research perfectly fits the research agenda in this essay. Archival research is a systematic method, through which one can analyze high volumes of unprocessed documents regarding a specific subject to create a framework, which serves the purpose of tracking, categorizing, and comparing policies in a given field. In archival research, one investigates first-hand materials and

documents, which decreases bias and error in analysis and increases the quality of the study (Friedrich, 2022). To understand the challenges and problems that hindered Germany's progress in the field of AI from the perspective of official documents and to look into the policies and measures that the German government and non-governmental actors have taken to alleviate the problems, we study the documents that the German government, federal ministries, the Bundestag⁹, related think tanks, research organizations and universities, trade associations, specialized unions, and the European Union have published regarding AI and its governance through archival research.

IV. RESULTS: CHALLENGES AND MEASURES TO OVERCOME

Integration of AI in Society and Economy, Challenges and Measures to Overcome

Despite that the number of newly funded AI startups in Germany is growing, which is the result of having reliable digitized infrastructure and production processes on one hand and prestigious universities and research centers in Germany on the other hand, this country has not been able to achieve a considerable economic success internationally compared to its rivals (Sharbaf, 2022, BMBF, 2023, Stanford University, 2024, Stanford University, 2023, Stanford University, 2022).

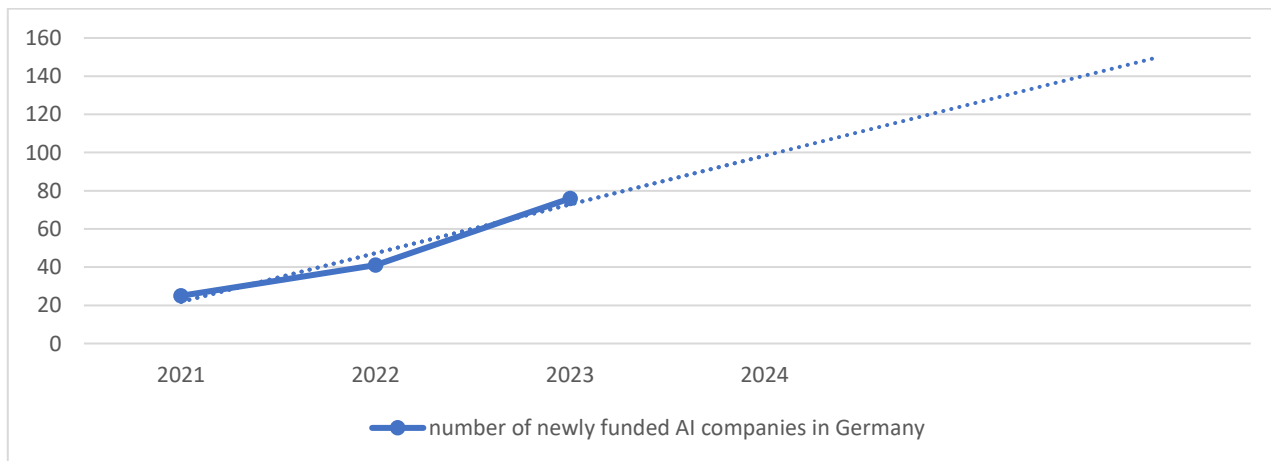


Fig.1: Expanding AI startup ecosystem in Germany

For instance, Germany ranks ninth globally after countries like Japan, India, France, Canada, the US, the UK, and

China in terms of the number of startups active in the field of AI (BMBF, 2023, Stanford University, 2024).

⁸ German government

⁹ German parliament

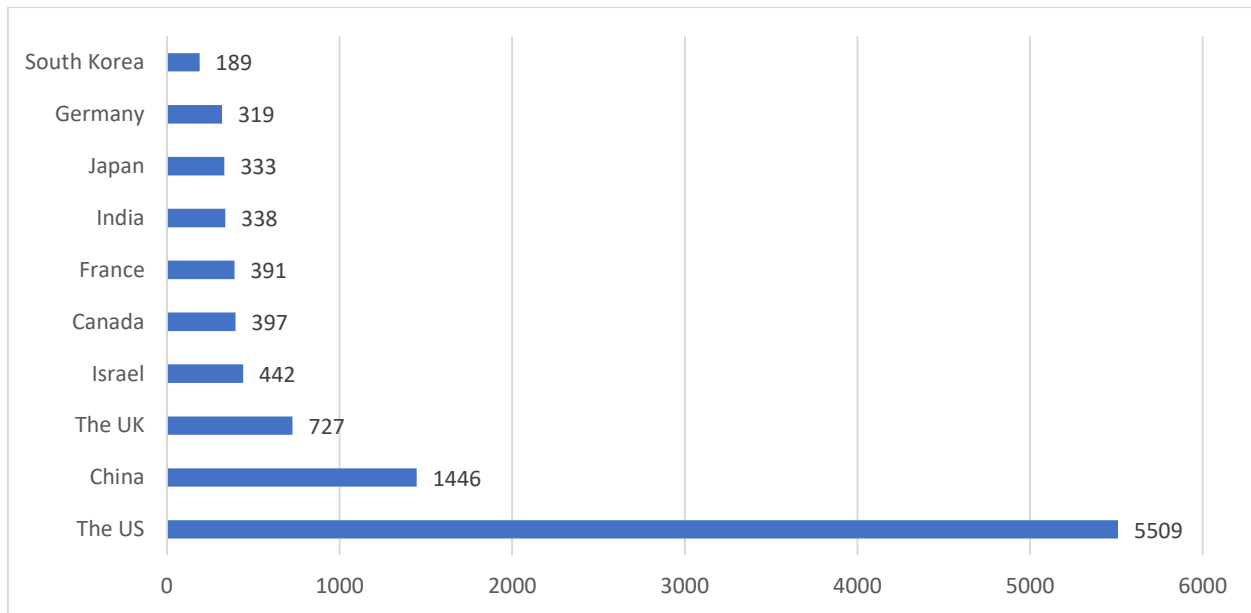


Fig.3: Global Comparison of the Number of AI Startups, 2013-2023

In terms of attracting private investment in the AI sector until 2023, the UK has invested twice as much, China 10 times, and the US has invested 32 times the amount that

Germany has invested in this sector (Stanford University, 2024)

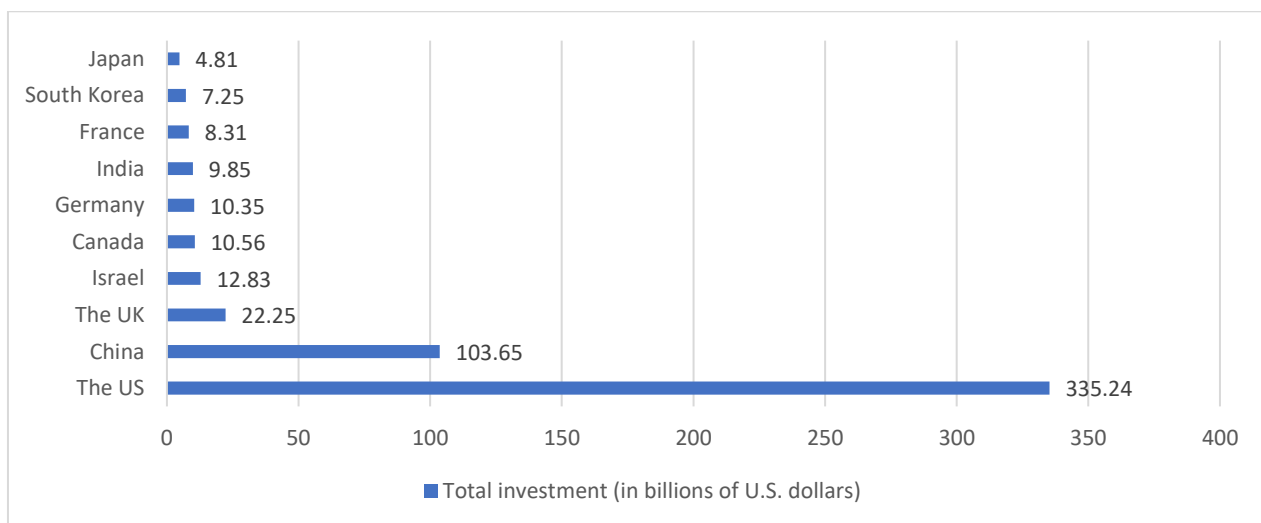


Fig.4: Global Comparison of Private Investment in AI, 2013-2023

In the following charts, we demonstrate the yearly private investments that the prominent countries that are active in the field of AI have made from 2018 to 2023, to compare their financial efforts in developing AI and demonstrate the gap between most of these countries and China and the US

according to the data available in the Artificial intelligence index reports (Stanford University, 2024, Stanford University, 2023, Stanford University, 2022, Stanford University, 2021).

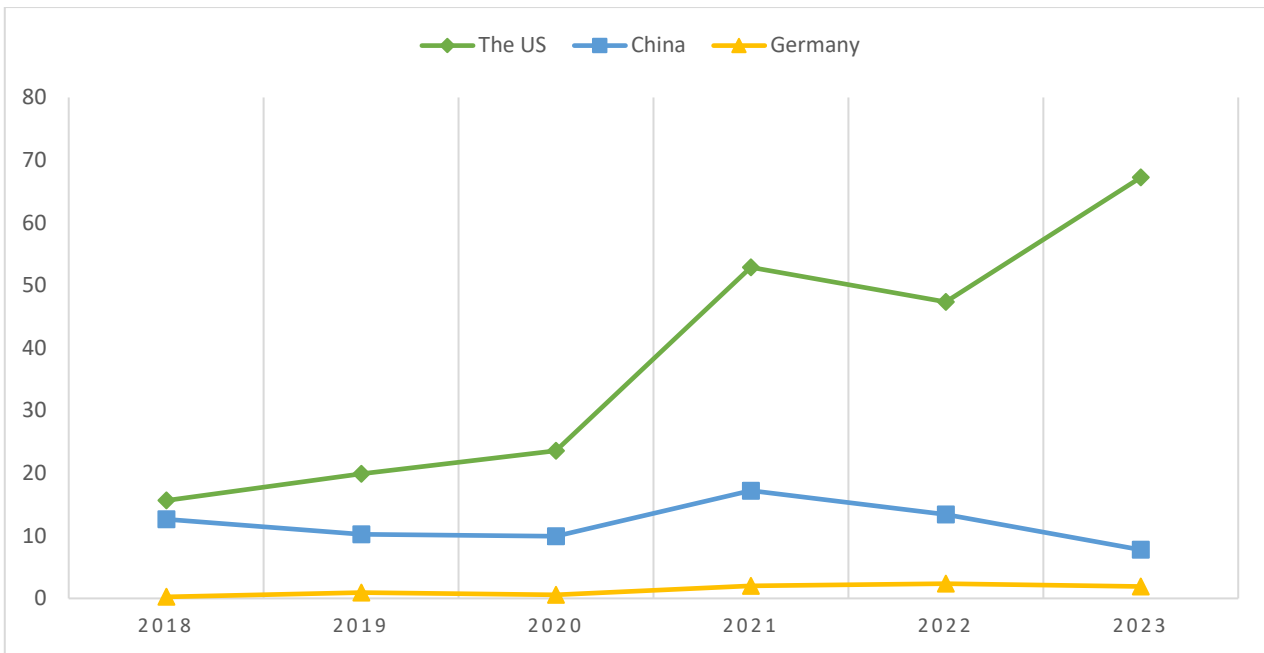


Fig.5: Yearly private investment in AI, 2013-2023, comparing Germany with China and the US

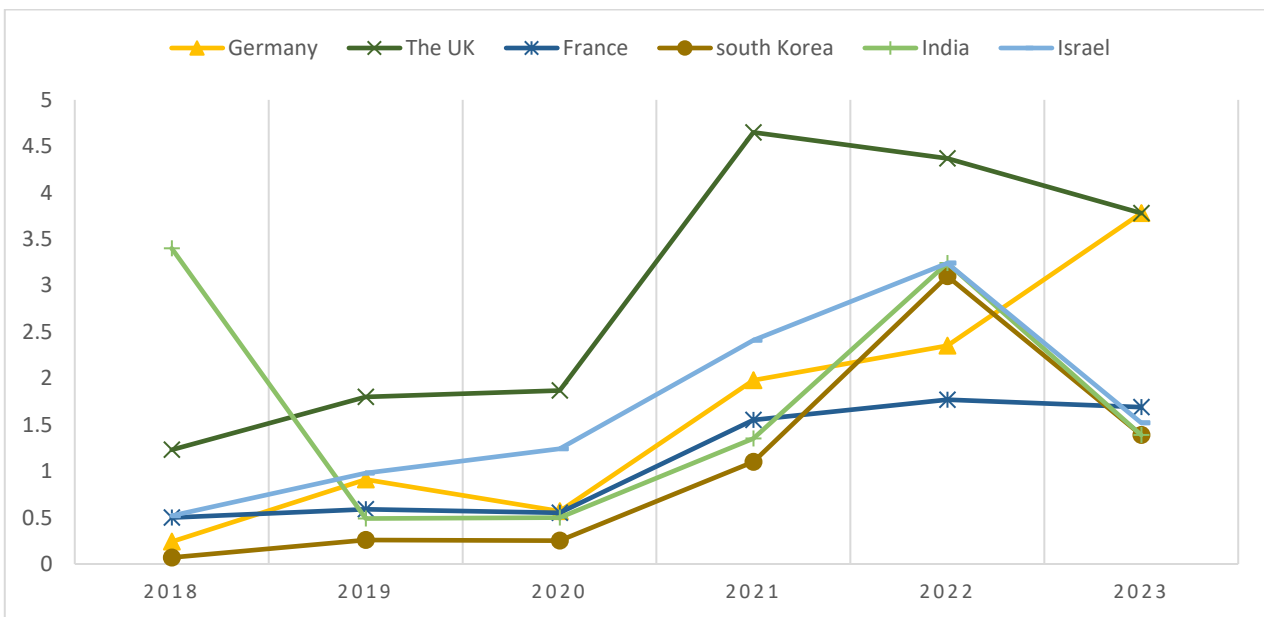


Fig.6: Yearly private investment in AI, 2013-2023, comparing Germany with prominent countries other than the US and China

With regard to AI patents, Germany ranks 5th to 7th globally after countries like China, the US, Japan, and South Korea (BMBF, 2023). Therefore, we can say that Germany’s economic AI performance is mediocre and does not match its potential. According to an assessment by the Federal Ministry of Education and Research, the reason behind this relative lack of success is related to the challenges regarding the transferability of AI research results to economic and industrial sectors and the systematic

and human-centered integration of AI technology in society and businesses (BMBF, 2023). To solve this problem, the efforts of the public and private sectors are put in motion.

In line with the efforts of the German government to make progress towards AI development and proliferation, federal ministries have been taking actions to integrate AI in the field of their specific duties, to facilitate the execution of their tasks through harvesting the benefits of AI.

*The Federal Ministry of Education and Research*¹⁰ was one of the ministries that was involved in the creation and publication of the national AI strategy in Germany. This ministry has contributed to the development and creation of the necessary hardware for AI systems in Germany, establishing AI service centers, promoting the use of artificial intelligence in small and medium enterprises, and promoting AI applications to solve problems. One example of the latter is the establishment of AI application centers¹¹, where AI is put to use to solve problems like reducing the amount of garbage and promoting a circular economy through AI-assisted recycling (BMBF, 2021). The Federal Ministry of Education and Research is also focused on training and recruiting experts for research and development purposes to increase the application of AI even further. Among its efforts, we can point out the creation of 100 university professorships in the field of artificial intelligence, the establishment of AI labs, and designing and implementing different projects centered on artificial intelligence in the educational and research environment (BMBF, 2022a).

In 2013, the *Federal Ministry of Transportation and Urban Development* in a decree by Angela Merkel was required to include the tasks related to digital and data policies as well as digital communications among its assigned tasks and take over the affairs related to the digital field. Subsequently, its name was changed to *the Federal Ministry of Transportation and Digital Infrastructure*¹². Ever since, this ministry's objective has been to expand digital infrastructures in Germany, devise plans and policies to support innovation and entrepreneurship, speed up digital development, and improve Germany's digital governance and competitiveness internationally (BMDV, 2022). These new tasks have been in accordance and aligned with this ministry's traditional tasks. This ministry actively promotes research, development, and experimentation of new AI-based technologies in transportation and urban development fields, on one hand, to save resources and achieve environmentally neutral transportation, on the other hand, to improve connections between population centers, overcome traffic, and improve safety (BMDV, 2018).

*The Federal Ministry of Environment*¹³ has introduced an initiative called AI- lighthouses¹⁴, which intends to counter environmental challenges with the help of AI. This ministry advocates the design and development of sustainable AI

systems and harvests the benefits of AI to promote the protection of the environment and climate (BMUV, 2022).

The Federal Ministry of Food and Agriculture supports research efforts that help ensure sustainable agriculture and management of agriculture and food sources. This ministry believes that harvesting the benefits of AI can help it achieve its goals, therefore at the moment it supports 36 joint research projects with a value of 44 million Euros to promote the application of AI in farming, food chain, and healthy nutrition management, and the development of rural areas. Through the integration of AI in the field of agriculture, innovative ideas for the improvement of agriculture and development of rural areas can be put into action and sustainable jobs and new services can be created, which in turn improves public welfare services and also ensures biodiversity (BMEL, 2022).

*The Federal Ministry of Economy*¹⁵ belongs to the group of federal ministries that created Germany's national AI strategy; therefore, it has a key role in promoting the application of AI in different industrial and economic sectors in this country. This ministry advocates the integration of AI-related innovations in Germany's national economy and specifically focuses on supporting the numerous SMEs¹⁶ to access and benefit from the opportunities that AI has to offer (BMWK, 2020).

The Ministry of Labor and Social Affairs has introduced initiatives like AI-observatory and AI-Studio to direct the development and application of AI in this country. AI observatory is an essential tool for the implementation of national AI strategy, monitors and analyzes the effects of AI on the field of work and society to orient AI design to maximum compatibility with public interests and facilitate its integration and application in work and society in a responsible manner (BMAS, 2020, KI-Observatorium). In the AI studios, the employees and workers are encouraged to receive training to use AI, share their experience of using AI with the developers, and contribute to the design and development process. The purpose is for the employees and workers to trust AI and view it as their support (BMAS, 2023).

Industries and private economic enterprises also contribute to the further integration of AI in society and the economy by injecting their funding and investments in research and development projects in AI and other technological fields. In return, they benefit from the breakthroughs resulting from these research projects. We can call this relation a

¹⁰ Bundesministerium für Bildung und Forschung, **BMBF**

¹¹ Anwendungshub

¹² Bundesministerium für Digitales und Verkehr, **BMDV**

¹³ Bundesministerium für Umwelt, Naturschutz, nukleare Sicherheit und Verbraucherschutz, **BMUV**

¹⁴ KI-Leuchttürmen

¹⁵ Bundesministerium für Wirtschaft und Klimaschutz, **BMWK**

¹⁶ Small and medium-sized enterprises

profitable mutualism, which boosts the transferability of research results to the society, businesses, and industrial sectors, and in turn, increases economic growth, creates business opportunities, and makes further research and innovation possible (BMBF, 2022a). SMEs create about 35 percent of total corporate turnover in Germany and 59 percent of job opportunities in this country (BMWK, 2019). Despite the considerable share they hold in the German economy, only 15% of SMEs have declared AI applications in their activities (Seifert et al., 2018). The reason is that they do not possess sufficient resources to test out the opportunities, limits, and risks associated with AI applications on their own. While the SMEs due to scarcity of their resources prefer not to approach untested areas such as AI, the government has sufficient resources and motifs to support the SMEs in this regard. Production technology center located in Leibniz University in Hannover is one of the facilities, where SMEs can benefit from state support and test out the application of AI with low costs to eventually integrate it into their businesses (Produktionstechnischen Zentrum Hannover, 2022).

Building and Maintaining AI Ecosystem, Challenges and Measures to Overcome

Despite that the rapid growth and development of AI globally offers vast benefits, it also creates challenges for the German economy and society, because Europe is lagging behind in developing AI models. In particular, for Germany, this means that safety in the technology arena has lower standards, and data sets have lower quality. Therefore, German enterprises become mere users of AI foundation models instead of contributing to their design. Consequently, Germany is on the verge of falling down a spiral of dependency. To avert this risk and contribute to the design of foundation models of AI, there needs to be massive computational capacities, which Germany currently lacks. According to a feasibility study by Germany's federal AI association, this country needs to establish computational infrastructure for the specific purpose of AI development, the creation of AI foundation models, and their application in the economy (KI Bundesverband, 2023a). To deal with this challenge and catch up in the global AI competition, Germany increases its support of initiatives like Cyber Valley. Cyber Valley is Europe's largest research consortium in the field of artificial intelligence, which was established in 2016 to bring together academic and industrial actors to cooperate in AI research and the commercialization of research results as marketable services and products. Cyber Valley is a regional artificial intelligence ecosystem with global appeal, and in

2018 it became an important part of Germany's national artificial intelligence strategy. Cyber Valley is a key component in increasing Europe's AI competitiveness, especially against the US and China (Max-Planck-Gesellschaft, 2020). Besides Cyber Valley, Germany also hosts DFKI, which is one of the largest and oldest AI research facilities internationally, which together with numerous AI startups contribute to AI development in this country.

Data and Infrastructure, Challenges and Measures to Overcome

Compared to other countries that are actively planning and investing to make progress in AI, Germany faces many legal barriers to collecting and storing the data that is necessary for AI research. Due to the importance of research efforts in the field of AI in general and the fact that the research results affect AI policy-making and the agility of policymakers in reacting to the latest developments in this field depends on the outcome of the researchers' efforts, experts highlight the importance of prioritizing research interests over other important factors like data protection and therefore praise the Research Data Act (GCEE, 2023, RatSWD, 2024). Data is a key factor and a very important resource in developing AI systems. Yet there are legal and infrastructural barriers preventing German actors from fully benefiting from this key resource. There is a large amount of data being produced on a continuous basis from the daily activity of people and enterprises. The problem is that the collection, storage, and use of data should legally be done in accordance with people's privacy and rights, which can be restricting to AI developers. Besides, the collected data are not standardized and not stored centrally. Furthermore, a large portion of the produced data goes unnoticed. Apart from that private and public sectors do not have enough motivation to share the data that each of them can access, because the regulations in this matter are ambiguous and the benefits are not clear. To solve these problems the German government agreed to the initiative proposed by the federal AI association¹⁷ called Big AI Models for Germany¹⁸. Based on this initiative and in the data institute project¹⁹, Germany created a high-performance data center, where the data are stored efficiently and without redundancy under the data and privacy regulations and in a standardized fashion. The data are categorized and made visible, so the research institutes and developers can access them more easily. Furthermore, the data institute provides consultation and guidance for the startups that want to access data, so their activity in AI development and application would not go in violation of German and European laws and regulations in

¹⁷ KI Bundesverband

¹⁸ Große KI-Modelle für Deutschland

¹⁹ Dateninstitute

this regard (KI Bundesverband, 2022, KI Bundesverband, 2023a).

Legal and Political Framework, Challenges, and Measures to Overcome

The main framework for artificial intelligence laws and regulations in Germany is determined by the country's constitution and the European Union's Charter of Fundamental Rights (Deutscher Bundestag, 2020). Besides federal legislation, European laws have a direct effect on AI regulation and governance in Germany. EU AI law, which

is the world's first comprehensive legal framework for artificial intelligence, is a good example. On March 13th, 2024, the European Parliament passed the EU AI Act and recognized it as a law. The full implementation of the EU AI law is required from all member states within 24 months (Yakimova and Ojamo, 2024). Europe's main factor for policy-making and devising regulations for AI is for these policies and regulations to be human-centered and respectful of European values (European Commission, 2021b).

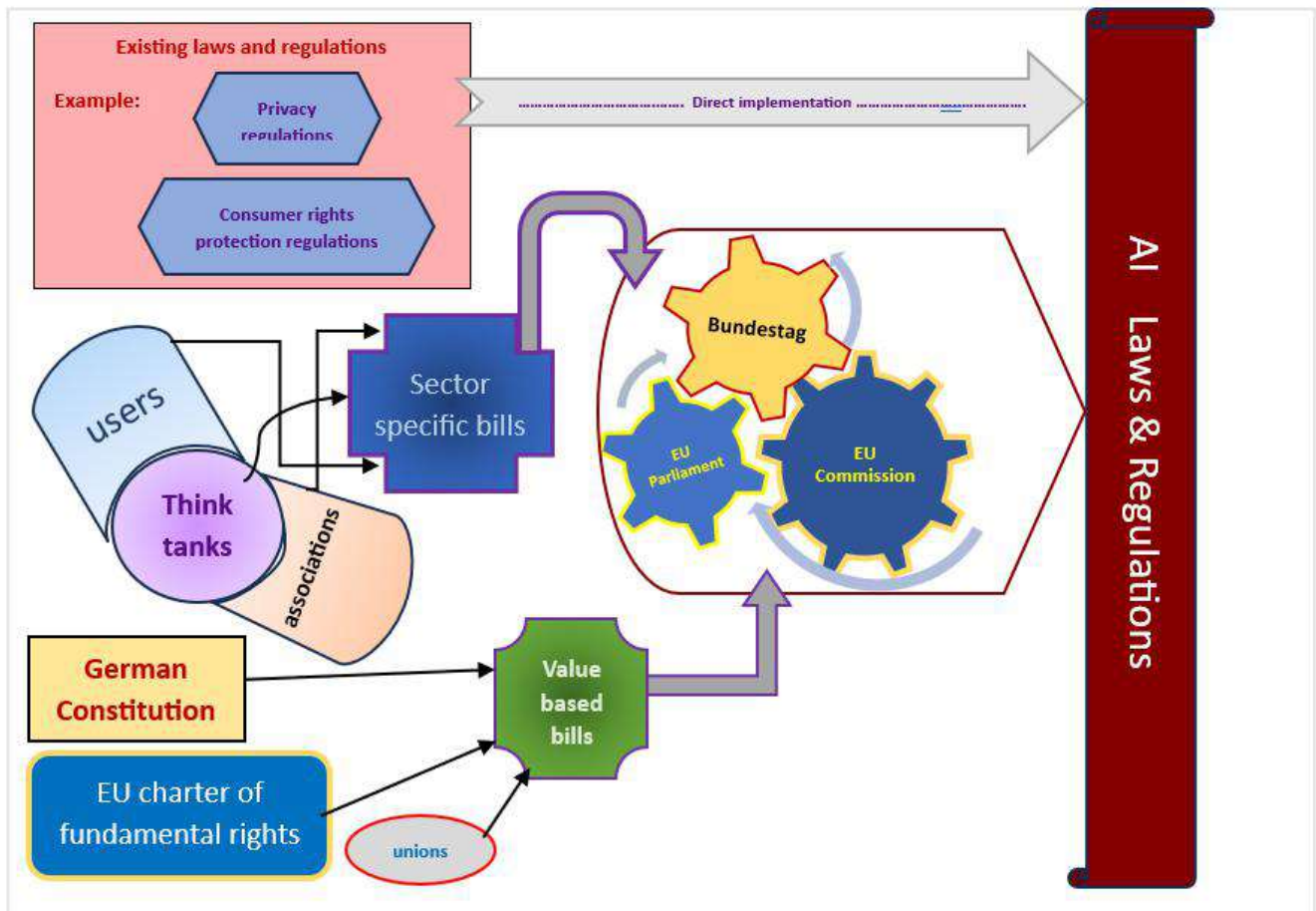


Fig.7: Schematic view of the factors in motion to form the AI Regulations and Laws

It is considered politically expedient to refer to European ethical guidelines and values for European policy-making in the field of AI. Because on the one hand, non-European forerunners in the field of AI and big technology companies that enact regulations and principles in this area, do so without consideration of European principles and values. On the other hand, the lack of governance and dominance regarding data and AI infrastructure on the side of the Europeans leads to further dependency of Europe to American and Chinese technology and service providers that do not necessarily abide by European laws and values (Bal and Gill, 2020, Henning Kagermann and

Ulrich Wilhelm, 2020). Apart from keeping European countries and AI enterprises from being completely overrun by non-European giant technology firms, like Meta, Microsoft, Baidu, and Alibaba, etc.; the most significant advantage of the EU AI law, due to its value-based and human-centered essence is legally stopping unclear and discriminatory applications of AI and preventing its destructive effects. The downside of this legislation is that it can potentially slow down AI-related economic growth and hinder innovation through overregulation (Algorithm Watch, 2023, Applied AI Institute for Europe, 2022, KI Bundesverband, 2023b).

Social Matters, Challenges, and Measures to Overcome

AI-based systems can affect people's behavior and perception in various fields in society and have the potential to direct the collective sentiments and conducts in society (Deutscher Bundestag, 2020, Deutscher Ethikrat, 2023). Artificial intelligence can potentially transform societies positively, although there is a serious concern that the use of new tools by public and private organizations will have a negative impact on human and personal rights, freedom, liberties, and other fundamental values (Article 19, 2018). To be able to lean toward AI and leverage it to make progress, the government, society, and businesses should cooperate to identify the positive and negative points of AI. Therefore, the German government constantly creates and expands research capacities in the field of AI, supports the creation of education and training centers, and allocates state funding to research and training in AI systematically (BMBF, 2022a). An example of these efforts is the establishment of AI-Observatory under the direction of the Ministry of Labor and Social Affairs.

The effects of AI have wide social implications. It can affect the labor force and employment. AI can address the need for labor forces in certain areas through automatization. In countries like Japan and Germany that are suffering from an aging population, this can be viewed as a solution to keep the economy sustainable and growing (Acemoglu and Restrepo, 2019). Despite the common belief, the automatization and the use of AI-based systems do not have a significant effect on the overall level of employment, and the loss of some job opportunities in the production sector is compensated by increasing profit and productivity that facilitate the creation of new job opportunities in the service sector and other sectors. We are witnessing the balance of job opportunities and displacement of human labor in industries that use robots and artificial intelligence. Automatization of the production processes reduces labor income and increases productivity and profit, which leads to higher job security for the workers. However, the decrease in the income of workers and the increase in the income of businesses, widens the income gap between workers and managers further, which strengthens social inequality (Dauth et al., 2018). Inequality in the labor market is not always reflected in the loss of jobs and income, but rather the quality of work and employment conditions in the new jobs that are created due to the proliferation of AI matters. In the digital, internet, and AI related job market, working is usually remote and online, which makes the employment of people from less developed regions outside the EU possible. Therefore, this labor market is dominantly unclear, not following labor

laws in Europe, and is made up of contracts that are not permanent and impose harsh working conditions on the employees (Bird et al., 2020). AI facilitates the unfair distribution of power and profit, as it can act as a means to concentrate technological, economic, and political power in the hands of a few significant internet and technology giants, namely Google, Meta, Microsoft, Apple, Tesla, SpaceX, and Amazon. Through wielding this great power and influence, they can affect and even direct governments, lawmakers, social communities, and political parties. Financially they are capable of making heavy investments to increase their social and political influence, buy off new innovative ideas and startups, and create or direct public discourse, especially through social media that they own, to be in line with their interests (Nemitz, 2018).

AI and technology developers should pay attention to safeguarding privacy, personal rights, and human dignity as they design their systems. AI can violate people's privacy. Autonomous AI-based systems are equipped with sensors that collect information and data from their surrounding without the consent of the people in their vicinity. AI can be used to identify people, who like to remain unknown. Besides, with the help of AI, data and information that are inherently public and non-sensitive can be deduced and used to create sensitive information about people. There are valid concerns about people's privacy being violated through their digital devices, like smartphones, that continuously listen and record their conversations and collect their data. Furthermore, data mining software combined with machine learning can help to discover the interests, habits, and political and social tendencies of people in a society. Implementing machine learning on big data can lead to discovering new patterns and extracting people's information (Article 19, 2018, Manikonda et al., 2018, European Parliament, 2016). To address these concerns, the EU has passed the General Data Protection Regulation²⁰. This regulation generally applies to data and pieces of information that are inherently personal and in many cases can not address the concerns and ethical issues regarding privacy that we face today (Bird et al., 2020).

Artificial intelligence is used to make decisions based on collected information. These decisions have different consequences and sometimes significantly affect people's lives. Artificial intelligence systems alone are not capable of making ethical decisions and cannot independently evaluate and judge their decisions in terms of ethical standards and values. Therefore, it is necessary to consider the ethical requirements and integrate these considerations into the fabric of the AI system as they are being developed (Article 19, 2018, Hirsch-Kreinsen and Krokowski, 2023).

²⁰ GDPR

Additionally, according to Article 14 of the EU AI Act to keep the function, decisions, and assessments of AI systems in conformity with social values and people's rights, there needs to be a human oversight function in place (European Commission, 2024). An example of a potentially harmful AI application is its use for surveillance and detection of troublesome people in society. The positive side of using AI in this regard is that it helps the police enforce the law, maintain security in society, and prevent crime. The negative side is that such application of AI can violate personal and fundamental rights of people. Besides, one poor or biased assessment by the AI can ruin someone's background and destroy a natural person's life. Therefore, to prevent bias and discrimination, the EU AI law in its article 5 categorizes the application of AI for social scoring and profiling to predict the probability of conducting a criminal offense as strictly prohibited. Furthermore, the use of AI systems by law enforcement according to Article 6 and Annex III of the EU AI Act is categorized as high-risk and based on Article 13 and Article 26 of the EU AI Act must be subject to strict limitations, transparency and ongoing assessments by proper technicians and organizations (European Commission, 2024).

Pre-requirement of liberty is privacy and one of the most fundamental rights in democratic societies is freedom of speech. These rights can be affected and violated by AI (Article 19, 2018, Bird et al., 2020). Artificial Intelligence is used to counter hate speech, fundamentalism, and misinformation campaigns. The automatic detection and elimination of such content that is assessed as illegitimate by the AI increases the threat of censorship of content that is basically OK, especially since this screening operation is managed by private contractors that can be easily influenced by governments and big enterprises. Apart from the unfair distribution of power, which was explained before in this article, AI can pose a threat to democracy via two other structural issues, which are data collection and monetization of these data by big enterprises and the fact that the reality of the world in which people live and interact with each other can be determined through algorithms and artificial intelligence. Through surveillance and assessment of people's data and behavior online, their tendencies and interests can be discovered and used to create a profile for the relative user. These profiles and data will be sold to other enterprises to create personalized, and highly efficient commercials to target the relative people, who most probably will be subdued and purchase the product or services offered to them. This is called surveillance capitalism (Owen, 2018). This method can also be used to target a political message to the people most likely to be

affected by it and spread fake news in a targeted manner among those, who most probably believe it. Additionally, algorithms determine what people see and with whom they interact based on their interests, as they are surfing the web or scrolling through their social media (Harambam et al., 2018). In the age of AI, the internet, and technology this can shape the reality of people's world. The determination of people's interaction mostly with other likeminded people and framing the content they see and hear based on their interests and agreeableness of the content, which is made possible through AI and algorithms, traps people in a chamber of echo, which in turn intensifies the ideational polarization of the society that can endanger social solidarity and integrity.

V. DISCUSSION

Germany does not possess large technology corporations like the US or China and the amount of funding and support for AI development, research, and proliferation that can be provided in Germany from its government or private sector like technology companies is far less than what the Americans or Chinese can mobilize for this purpose (KI-Observatorium). Unlike the US that can leverage the massive technical, infrastructural, and financial potential of its technology companies including Alphabet, Amazon, Apple, Meta, and Microsoft, or China that not only leverages its most prominent technology firms like Baidu, Alibaba, Tencent, and Xiaomi but also benefits from the full and coherent support of Chinese government, the Germans have to rely on other assets to push AI development forward and stay in the global competition. Germany's assets are on the one hand its robust industrial and economic power and on the other hand its prominent academic centers and universities. Besides, unlike the US, China, and other competitors in the field of technology and AI, Germany is a part of a larger community of countries that more or less share its values, goals, and interests. This community is the European Union and its member states share a common understanding that they need to act collectively and coherently in various fields including AI, if they wish to make progress and benefits and stay in the international competition.

We can confidently claim that Germany is an international actor in the field of AI. Germany's approach to mitigate and solve the problems and challenges that hinder its progress in the AI arena is to offer a combination of national and European measures. On the national level, we see that Germany resorts widely to the capacities of the Bundesregierung²¹ by mobilizing federal ministries and

²¹ German federal government

offering funds and support for non-governmental actors and SMEs to expand their technological and AI competencies. The government also encourages private enterprises to invest their money and facilities into research efforts to benefit from the results of the research in the form of new innovative approaches or cutting-edge technologies in their businesses later. Most notably Germany uses these capacities and potentials to address challenges that hinder the integration of AI in society and economy and also address the matters related to data and infrastructure. Considering that Europe, Germany included, compared to the US and China is underdeveloped in terms of investments, technology, and technological infrastructure, Germans took a more communal approach to develop and maintain a globally competitive and significant AI ecosystem at a European level. Germany hosts centers like DFKI and Cyber Valley and also has more sophisticated academic centers and a stronger and richer economy. Therefore, in this communal effort, Germany assumes the leadership role and with the cooperation of France pushes Europe’s progress in AI forward. In legal and political matters regarding AI, Germany’s approach is again communal at a European level. Yet this time instead of leading the effort, Germany has a more susceptible tendency and regulates its effort based on European regulations like GDPR and EU AI Law. Through this approach, Germany will be able to assert its influence and values globally through the European Union. The social effects of AI are more or less similar globally. Although the efforts of Germany to mollify AI’s harmful social side effects and harvest its benefits for society take place in a European

communal setting, they are applicable in other countries as well.

VI. CONCLUSION

In this research we have investigated the official documents and websites in Germany and Europe, using the archival research method, to find out about the challenges and problems that hindered Germany’s progress in the field of AI and realize how the German government is addressing these problems and challenges to push Germany’s progress in the field of AI forward. According to our findings, Germany’s efforts in AI development can be categorized into four trends. These trends are as follows:

1. Integration of AI in society and economy
2. Building and maintaining AI ecosystem
3. Strengthening the country in terms of infrastructure and data
4. Research and development, which constitutes the essence and backbone of all the other trends.

To drive its efforts forward in each trend, Germany should overcome the respective challenges. Furthermore, due to the novelty of the subject of AI and its fast-developing nature, AI has posed some challenges and issues on legal, political, and social levels that need to be addressed quickly and swiftly, so that it wouldn’t jeopardize society, value structure and way of life, and humanity in general. An overview of some of these challenges as reflected by the German and European official documents and their respective solutions is presented in the Table.1.s

Table 1: An overview of the problems and solutions regarding AI and its development in Germany

domains	Problem	Solution
Integration of AI in society and economy	Mediocre economic performance globally concerning AI technology	<ul style="list-style-type: none"> • Mobilization of the Facilities and capabilities of the federal ministries and making them integrate AI in their fields of action and duties • Supporting research and monitoring efforts in the field of AI by the government • Encouraging the private sector to invest their money and facilities in research efforts and then integrate and apply the results into their field of work.
	Transferring AI research results to economic and industrial sectors	
	Systematic and human-centered integration of AI in society and businesses	
Building and maintaining the AI ecosystem	Lagging behind in the development of AI models	<ul style="list-style-type: none"> • The foundation of Cyber Valley in Germany and increasing the support offered to it. Cyber Valley is the largest European research consortium in AI and a key component in Europe’s international competition over AI against the US and China. • Creating a network of six progressive national AI competence centers in Germany including DFKI, BIFOLF, MCML, The Lamarr Institute for Machine Learning and Artificial Intelligence, SCADS.AI, and TÜAI
	Lower quality of data and technology standards in Germany than international counterparts	
	Germany is at risk of becoming a dependent user of AI products, services, and infrastructures of foreign origin	
	Lacking enough computational capacity and infrastructure for AI purposes in Germany	

Data and infrastructure	Legal barriers and limitations in Germany for collecting and storing the data necessary for AI research	<ul style="list-style-type: none"> • Prioritizing research efforts over other values and limitations and passing the Research Data Act in Germany to make it official • Proposing and executing the initiative called Big AI Models for Germany by the federal AI association to create high-performance data centers and provide consultation
	Infrastructural barriers regarding data accessibility and use for AI developers in Germany	
Legal and political matters	Lack of governance and dominance regarding AI infrastructure and data in Europe	<ul style="list-style-type: none"> • Referring to European ethical guidelines and values to make policies in the field of AI and protecting the Europeans by stopping unclear and discriminatory effects of AI • Resorting to a value-based and human-centric approach in creating laws and regulations and influencing AI laws and regulations globally through the Brussels Effect.
	The threat of becoming dependent on Chinese and American products and being forced to abide by their regulation and terms, which may contradict the German and European ones	
Social matters	Personal rights, freedom, and liberty of people being undermined through the application of AI	<ul style="list-style-type: none"> • More investment by the public and private sector in Germany on establishing and expanding AI research capacities to identify positive and negative aspects of AI and address them by creating more sophisticated education and training means and measures. • Using the surplus profit created through automatization and application of AI to create new job opportunities and increase job security for employees • Integrate values such as respect for privacy, personal rights, and human dignity into the design of the AI systems • Apply legislative means such as GDPR and EU AI Law to safeguard privacy and other values • Devise more legislation to protect democracy and ensure social equality and fairer distribution of power and profit
	Increase in social inequality	
	Unfair distribution of power and profit through AI application	
	Social profiling and violation of privacy	
	Undermining democracy and violation of freedom of speech	

REFERENCES

[1] ACEMOGLU, D. & RESTREPO, P. 2019. Automation and new tasks: How technology displaces and reinstates labor. *Journal of Economic Perspectives*, 33, 3-30.

[2] ALGORITHM WATCH. 2023. *Ein Leitfaden zum AI Act: Wie die EU KI regulieren will und was das für uns alle bedeutet* [Online]. Available: <https://algorithmwatch.org/de/ai-act-erklart/> [Accessed].

[3] APPLIED AI INSTITUTE FOR EUROPE 2022. AI Act Impact Survey.

[4] ARTICLE 19 2018. Privacy and Freedom of Expression in the Age of Artificial Intelligence. Privacy International.

[5] BAL, R. & GILL, I. S. 2020. Policy approaches to artificial intelligence based technologies in China, European Union and the United States.

[6] BIRD, E., FOX-SKELLY, J., JENNER, N., LARBAY, R., WEITKAMP, E. & WINFIELD, A. 2020. The ethics of artificial intelligence: Issues and initiatives. In: TECHNOLOGY, P. F. T. F. O. S. A. (ed.). European Parliament: European Parliamentary Research Service, EPRS.

[7] BMAS. 2020. *KI-Observatorium* [Online]. Bundesministerium für Arbeit und Soziales. Available: <https://www.bmas.de/DE/Arbeit/Digitalisierung-der-Arbeitswelt/Denkfabrik-Digitale-Arbeitsgesellschaft/ki-observatorium.html> [Accessed].

[8] BMAS. 2023. *Projektaufakt "KI-Studios"* [Online]. Bundesministerium für Arbeit und Soziales. Available: <https://www.bmas.de/DE/Service/Presse/Meldungen/2023/p-rojektaufakt-ki-studios.html> [Accessed].

[9] BMBF. 2021. *Bekanntmachung, Richtlinie zur Förderung von Projekten zum Thema „KI-Anwendungshub Kunststoffverpackungen – nachhaltige Kreislaufwirtschaft durch Künstliche Intelligenz“* [Online]. Bundesministerium für Bildung und Forschung Website: Bundesministerium für Bildung und Forschung. Available: <https://www.bmbf.de/bmbf/shareddocs/bekanntmachungen/de/2021/09/2021-09-17-Bekanntmachung-KI.html> [Accessed 2024].

[10] BMBF 2022a. Bundesbericht Forschung und Innovation 2022, Forschungs- und innovationspolitische Ziele und Maßnahmen. Bundesministerium für Bildung und Forschung.

[11] BMBF 2022b. Federal Report on Research and Innovation 2022 (short version). Bundes Ministerium für Bildung und Forschung.

- [12] BMBF 2023. Aktionsplan Künstliche Intelligenz. Bundesministerium für Bildung und Forschung.
- [13] BMDV. 2018. *KI-Projekte des BMDV* [Online]. Bundesministerium für Digitales und Verkehr. Available: <https://bmdv.bund.de/DE/Themen/Digitales/Kuenstliche-Intelligenz/KI-Projekte-in-der-Mobilitaet/aktionsplan.html> [Accessed].
- [14] BMDV. 2022. *Aufgaben und Struktur, Abteilungen Digital- und Datenpolitik & Digitale Konnektivität* [Online]. Bundesministerium für Digitales und Verkehr. Available: <https://bmdv.bund.de/DE/Ministerium/Aufgaben-Struktur/aufgaben-struktur.html> [Accessed].
- [15] BMEL. 2022. *BMEL fördert Projekte zum Einsatz von Künstlicher Intelligenz in der Landwirtschaft und den ländlichen Räumen* [Online]. Bundesministerium für Ernährung und Landwirtschaft. Available: <https://www.bmel.de/DE/themen/digitalisierung/kuenstliche-intelligenz.html> [Accessed].
- [16] BMUV. 2022. *Künstliche Intelligenz für Umwelt und Klima* [Online]. Bundesministerium für Umwelt, Naturschutz, nukleare Sicherheit und Verbraucherschutz. Available: <https://www.bmu.de/themen/digitalisierung/kuenstliche-intelligenz-fuer-umwelt-und-klima> [Accessed].
- [17] BMWK 2019. *SMEs Digital. Strategies for the digital transformation*. Berlin: Federal Ministry for Economic Affairs and Energy.
- [18] BMWK 2020. *Künstliche Intelligenz als Treiber für volkswirtschaftlich relevante Ökosysteme*. Bundesministerium für Wirtschaft und Klimaschutz.
- [19] DAUTH, W., FINDEISEN, S., SUEDEKUM, J. & WOESSNER, N. 2018. Adjusting to robots: Worker-level evidence. *Opportunity and Inclusive Growth Institute Working Papers*, 13.
- [20] DESOUZA, K. 2019. Delivering artificial intelligence in government: Challenges and opportunities.
- [21] DEUTSCHER BUNDESTAG 2020. Bericht der Enquete-Kommission Künstliche Intelligenz – Gesellschaftliche Verantwortung und wirtschaftliche, soziale und ökologische Potenziale. Deutscher Bundestag – 19. Wahlperiode.
- [22] DEUTSCHER ETHIKRAT 2023. *Mensch und Maschine – Herausforderungen durch Künstliche Intelligenz*.
- [23] DFKI. *Über DFKI* [Online]. Available: <https://www.dfki.de/web/ueber-uns> [Accessed 2024].
- [24] DIE BUNDESREGIERUNG. 2018a. *AI - a brand for Germany* [Online]. Available: <https://www.bundesregierung.de/breg-en/service/archive/ai-a-brand-for-germany-1551432> [Accessed 2023].
- [25] DIE BUNDESREGIERUNG 2018b. Key points for a Federal Government Strategy on Artificial Intelligence. Bundesministerium für Wirtschaft und Klimaschutz, : Bundesministerium für Wirtschaft und Klimaschutz, .
- [26] DIE BUNDESREGIERUNG 2018c. *Strategie Künstliche Intelligenz der Bundesregierung*. Berlin.
- [27] DIE BUNDESREGIERUNG. 2020. *Künstliche Intelligenz (KI) ist ein Schlüssel zur Welt von morgen*. [Online]. Available: <https://www.ki-strategie-deutschland.de/home.html> [Accessed 10.13.2023].
- [28] EESC 2017. Opinion of the European Economic and Social Committee on ‘Artificial Intelligence—The Consequences of Artificial Intelligence on the (digital) Single Market, Production, Consumption, Employment and Society. European Economic and Social Committee.
- [29] EUROPEAN COMMISSION 2018. Communication from the Commission, Artificial Intelligence for Europe.
- [30] EUROPEAN COMMISSION. 2021a. *Germany AI Strategy Report* [Online]. AI Watch. Available: https://ai-watch.ec.europa.eu/countries/germany/germany-ai-strategy-report_en [Accessed 1/26/2024 2024].
- [31] EUROPEAN COMMISSION 2021b. Laying Down Harmonised Rules on Artificial Intelligence (Artificial Intelligence Act) and Amending Certain Union Legislative Acts. Brussels.
- [32] EUROPEAN COMMISSION 2024. EU Artificial Intelligence Act.
- [33] EUROPEAN PARLIAMENT 2016. General Data Protection Regulation.
- [34] FRIEDRICH, A. K. 2022. Archival Research. *Routledge Handbook of Foreign Policy Analysis Methods*, 463.
- [35] GCEE 2023. Germany needs a research data infrastructure for the 21st century. German Council of Economic Experts.
- [36] HARAMBAM, J., HELBERGER, N. & VAN HOBOKEN, J. 2018. Democratizing algorithmic news recommenders: how to materialize voice in a technologically saturated media ecosystem. *Philosophical Transactions of the Royal Society A: Mathematical, Physical and Engineering Sciences*, 376, 20180088.
- [37] HENNING KAGERMANN & ULRICH WILHELM 2020. European Public Sphere: Gestaltung der digitalen Souveränität Europas.
- [38] HIRSCH-KREINSEN, H. & KROKOWSKI, T. 2023. Trustworthy AI: AI made in Germany and Europe? *AI & SOCIETY*.
- [39] KI-OBSERVATORIUM. *Über das KI-Observatorium* [Online]. Available: <https://www.ki-observatorium.de/das-ki-observatorium/ueber-das-ki-observatorium> [Accessed 2024].
- [40] KI BUNDESVERBAND. 2022. *Stellungnahme des KI Bundesverbandes zur Lancierung des Dateninstitutes* [Online]. Berlin. Available: <https://ki-verband.de/stellungnahme-des-ki-bundesverbandes-zur-lancierung-des-dateninstitutes/> [Accessed].
- [41] KI BUNDESVERBAND 2023a. *Große KI-Modelle für Deutschland (Large AI Models for Germany, LEAM)*.
- [42] KI BUNDESVERBAND 2023b. Position Paper on the EU AI Act: Remaining Issues and Current Discussions.
- [43] LEMKE, N., TREIN, P. & VARONE, F. 2023. Agenda-setting in nascent policy subsystems: issue and instrument priorities across venues. *Policy Sciences*, 56, 633-655.
- [44] MANIKONDA, L., DEOTALE, A. & KAMBHAMPATI, S. What's up with privacy? User preferences and privacy concerns in intelligent personal assistants. Proceedings of the 2018 AAAI/ACM Conference on AI, Ethics, and Society, 2018. 229-235.
- [45] MATTHEWS, D. 2023. Germany promises huge boost in artificial intelligence research funding and European coordination. *Science Business*.

- [46] MAX-PLANCK-GESELLSCHAFT. 2020. *A boost for artificial intelligence* [Online]. Available: <https://www.mpg.de/16193056/a-boost-for-artificial-intelligence> [Accessed 2024].
- [47] NEMITZ, P. 2018. Constitutional democracy and technology in the age of artificial intelligence. *Philosophical Transactions of the Royal Society A: Mathematical, Physical and Engineering Sciences*, 376, 20180089.
- [48] OWEN, T. 2018. *Ungoverned Space, How Surveillance Capitalism and AI Undermine Democracy* [Online]. Centre for International Governance Innovation. Available: <https://www.cigionline.org/articles/ungoverned-space/> [Accessed 2024].
- [49] PRODUKTIONSTECHNISCHEN ZENTRUM HANNOVER. 2022. *Künstliche Intelligenz in der Produktion: ProKI-Zentrum Hannover gestartet* [Online]. Produktionstechnik Hannover Informiert. Available: <https://phi-hannover.de/kuenstliche-intelligenz-in-der-produktion-proki-zentrum-hannover-gestartet/> [Accessed 2024].
- [50] RADU, R. 2021. Steering the governance of artificial intelligence: national strategies in perspective. *Policy and society*, 40, 178-193.
- [51] RATSWD 2024. RatSWD-Stellungnahme zu den BMBF-Eckpunkten zum Forschungsdatengesetz. German Data Forum.
- [52] RT. 2017. 'Whoever leads in AI will rule the world' [Online]. Available: <https://www.rt.com/news/401731-ai-rule-world-putin/> [Accessed 2024].
- [53] SAVAGE, N. 2020. The race to the top among the world's leaders in artificial intelligence. *Nature*, 588.
- [54] SEIFERT, I., BÜRGER, M., WANGLER, L., CHRISTMANN-BUDIAN, S., ROHDE, M., GABRIEL, P. & ZINKE, G. 2018. Potential of Artificial Intelligence in Germany's Producing Sector. *Begleitforschung PAiCE, iit-Institut für Innovation und Technik in der VDI/VDE Innovation+ Technik GmbH, Download*, 2, 19.
- [55] SHARBAF, M. S. 2022. Artificial Intelligence in Germany: Strategy and Policy—the Impact of AI on German Economy. In: MAURYA, A. & MUNOZ, J. M. (eds.) *International Perspectives on Artificial Intelligence*. Anthem Press.
- [56] STANFORD UNIVERSITY 2021. Artificial Intelligence Index Report 2021. Stanford University.
- [57] STANFORD UNIVERSITY 2022. Artificial Intelligence Index Report 2022. Stanford University.
- [58] STANFORD UNIVERSITY 2023. Artificial Intelligence Index Report 2023. Stanford University.
- [59] STANFORD UNIVERSITY 2024. Artificial Intelligence Index Report 2024. Stanford University.
- [60] WEBER, M. 1980. *Wirtschaft und Gesellschaft: Grundriß der verstehenden Soziologie*. 5., rev. Aufl. Tübingen: Mohr.
- [61] YAKIMOVA, Y. & OJAMO, J. 2024. Artificial Intelligence Act: MEPs adopt landmark law. European Parliament.

An Overview Regarding the U.S domestic Economic Strategies: Role of Think Tanks

Ellias Aghili Dehnavi¹, Mohammad Mahdi Niafar², Kanan Ahmadzada³

Second Year Ph.D. Candidate at Adam Mickiewicz University, Faculty of Political Science and Journalism, Poznan, Poland

ellagh@amu.edu.pl

<https://orcid.org/0009-0001-9238-056X>

²Bachelors of Financial Management, Department of Finance and Accounting, University of Economics and human sciences in warsaw

Niafamo- aeh@students.vizja.pl

<https://orcid.org/0009-0001-9695-1833>

³Third Year, Ph.D. Candidate at Adam Mickiewicz University, Faculty of Political Science and Journalism, Department of Non- European Political Studies, Poznan, Poland

<https://orcid.org/0000-0002-8669-4685>

Received: 29 Aug 2024; Received in revised form: 30 Sep 2024; Accepted: 05 Oct 2024

©2024 The Author(s). Published by TheShillonga. This is an open-access article under the CC BY license

(<https://creativecommons.org/licenses/by/4.0/>)

Abstract

Even though federal government of U.S play the primary role in managing the nations various systems such as fiscal policy, healthcare, defense and welfare, the existence of different political ideologies plays a part in national and international stability¹, in sense that each ideology strategy in managing economic issues reach a different conclusion, proved by the numerous economical tragedies such as the greater recession, implements the bases of each ideologies perspective on government's role in reducing economic inequality, addressing job displacement due to technological change, and striking a balance between free market principles and government intervention during economic crises.¹ To discuss the economical view of each side, one must fully understand in clarity the differences between two ideologies, in simplest form liberalism is described by the government's sole responsibly in preserving freedom protections its citizens individual liberty while also minimizing its intervention in its citizens lives, on the other hand, conservatism allows the government vast influence thus to conserve the established norms and institutions such as the cultural and religious traditions of its nation. While this is nearly the correct definition of what each ideology stands for, such political movements do tend to abuse power through the ideological privileges they stand for. Furthermore, the existence of the federal government is crucial in interfering with conservative or liberal administrations when their policies threaten economic stability. Federal governments' regulatory agencies such as federal reserves and the Environmental protection agencies exist to act as checks on extreme economic policies. Under a conservative administration that Favors deregulation and reduced taxes, the federal government may intervene to prevent excessive corporate power or environmental harm that could arise from such policies.² Conversely, in a liberal administration pushing for expansive social programs or aggressive tax hikes, the federal government's budgetary and constitutional frameworks can limit excessive spending or prevent overreach that may stifle economic growth.³ Thus, regardless of the political ideology in power, the federal government ensures a balanced approach to economic management by safeguarding essential public interests while keeping national economic stability.

Keywords— Think Tanks, U.S Foreign Policy, U.S domestic policy, Finance Management, Economy

¹ [Conservatives vs. Liberals: The Economic Debate - Cameron School of Business Blog \(stthom.edu\)](https://stthom.edu)

² <https://doi.org/10.1596/978-1-4648-0057-3>

³ <https://www.pewresearch.org/politics/2017/10/24/5-views-of-the-economy-and-the-social-safety-net/>

I. INTRODUCTION

Economic power, as one of the components of power for governance and society, in addition to internal strengthening, also causes authority and influence in the international arena. Perhaps, ahead of military and political power, the economic power of the United States of America can be considered as the main component of this country's power in creating a hegemonic order at the international level. At the same time, the observation of facts such as widespread poverty, class gap and income inequality, etc., creates doubts in the foundation of this country's economic power. The indicators of economic measurement are very diverse and numerous, but the indicators can be expressed in three general categories. These three categories include macro indicators, livelihood indicators and economic satisfaction indicators.

A detailed assessment of the economic situation of the American society and the explanation of the economic power of the United States of America is realized by providing statistics, the economic realities of the United States in all three groups of calculation, livelihood and economic satisfaction indicators. It is after a comprehensive review of these indicators that the statement of America as the most powerful world economy can be validated. In the meantime, US think tanks can play a useful role in choosing efficient economic strategies. The purpose of this study is to investigate the influence of the role of think tanks in the United States in adopting efficient economic strategies.

II. LITERATURE REVIEW

So far, many studies have been conducted on the strategies and policies of the United States in various fields, and in this section, the most important ones are introduced and analyzed.

In one of the studies conducted in this field, the redefinition of US foreign policy through US immigration, security and diplomacy in the Trump era has been discussed. In this regard, topics such as terrorism, immigration and international relations in relation to hostile countries have been examined. The results of this survey have shown that the aforementioned policies have been implemented in the form of the so-called "Jackson" policy by the Trump

administration, as well as various types of containment policies, regarding the foreign policy of the United States.⁴ However, in this study, the economic policies and strategies of the United States have not been considered. In addition, the role of think tanks in the formation of these policies has not been investigated.

In another study, the relations between the United States and Iran after the Islamic Revolution have been analyzed. In this regard, the historical, ideological and geopolitical characteristics of the relations between the two countries have been examined. The relations between the two countries have been analyzed based on the analysis of the chaotic situation of international and domestic policies.⁵ Although the development of relations between the two countries and the role of the United States in the Iran-Iraq war have been analyzed, the role of think tanks in adopting the policies of this country has not been evaluated in this study.

The strategy based on the use of proxy forces in regional wars has been proposed as one of the important strategies by think tanks, the purpose of which is to create deterrence. Accordingly, Iran exerts influence on these territories by strategically deploying armed groups throughout Iraq, Syria, Lebanon and Yemen. The results of this study have shown that the adoption of this style in Iran's political structure is not only to maintain security, but to confront the implementation of American policies in the Middle East region and to curb the power of this country has also been considered by think tanks.⁶ Despite the study of the role of think tanks in policy-making, their influence on economic policies has not been studied.

The role of think tanks in the exceptionalism of the United States in the foreign policy of this country is studied based on the literary work *Adventures of Two Captains' Trilogy*. The results of this study have shown that this literary work can help in the correct understanding of global policies. Also, global think tanks work regularly with a dynamic policy mechanism and help to adopt optimal strategies to improve the international relations of the United States.⁷ However, in this study, only the influence of the role of think tanks in international relations and the strategies used in this field has been discussed, and the economic aspects have not been examined. Some studies have also examined

⁴ Dehnavi, E. A. (2024). The Trump Doctrine: Redefining US Foreign Policy through Immigration, Security, and Diplomacy. *International Journal of Humanities and Education Development (IJHED)*, 6(5), 26-28.

⁵ Dehnavi, E. A. (2024). An Analytical Examination of Iran-USA Relations Post-Islamic Revolution: Extended Scientific Review. *International Journal of Humanities and Education Development (IJHED)*, 6(5), 23-25.

⁶ Dehnavi, E. A., & Safavipour, A. (2024). Decoding Iran's Proxy Strategy: Determent or Destabilization? A Review and Scientific Commentary. *International Journal of Humanities and Education Development (IJHED)*, 6(5), 1-6.

⁷ Dehnavi, E. A., & Fiedler, R. (2024). *Adventures of Two Captains' Trilogy and US Exceptionalism in their Foreign Policy: Manifestation of Think Tanks in a literary work.*

the strategies and options of the United States regarding interaction with Iran in the future. The logic of the US policy towards Iran includes things such as gradually weakening Iran, preventing the increase of national financial resources, banning foreign investment, postponing national development, intensifying inefficiencies, etc. In addition, the challenges related to the geopolitical landscape of the Middle East and the issues related to Iran with the involvement of Russia and China, as well as the challenges related to the proxy war have been examined from the perspective of think tanks. The results have shown that think tanks are able to provide effective policies and strategies regarding the interaction of the United States with other countries, including Iran.⁸

In the second volume of the book *Styles in American Politics*, the role of conservative think tanks and their foreign policy has been investigated. In this regard, using the method of narrative analysis, the existential philosophy of American think tanks has been examined. Also, a general analysis about the role of conservative think tanks in shaping the foreign policy of the United States is presented. In addition, the most influential conservative think tanks in the political history of the United States have been identified.⁹

Think tanks have also presented strategies for examining the challenges of Mexican immigrants entering the United States. In this regard, a descriptive-analytical study based on the library method has been conducted. The results show that Mexican immigrants have a favorable view of American soil due to incompatibility with Anglo-Saxon culture. Reluctance to learn English and speak Spanish and sense of identity has created a cultural and identity divide in America. Therefore, according to these think tanks, the number of Mexican immigrants in the United States should be gradually reduced.¹⁰ However, these think tanks have not investigated the economic effects of the presence of these immigrants in the United States.

The most important changes and indicators of Trump's new immigration policy program, which are derived from the experiences and opinions of US think tanks, have been analyzed. In this regard, a descriptive-analytical research has been conducted. The results show that Trump's

immigration policies are adopted very hastily and according to the effects of the US electoral climate and are mainly political and discriminatory. This plan was met with domestic and international reactions as well as legal challenges, one of which is its contradiction with the approvals of the Congress, which prohibits any racial discrimination in immigration to the United States. Gradually and with the intervention of think tanks, Trump's immigration plan was formulated in accordance with the US policy, which emphasizes indicators such as competence and adaptability of the workforce. This shows the important role of US think tanks in providing efficient strategies to solve existing challenges.¹¹

The book, from containment to Americanism, examines the national security strategies of the presidents of the United States of America after World War II. In this regard, a descriptive analytical study based on interviews and library sources has been conducted. Research has shown that each American president had a national strategy in the post-World War II era, and in the post-World War II era, the US national security strategy has always had a global approach.¹² Although the strategies of the United States in the field of national security have been examined in this study, the role of think tanks in adopting these strategies has not been considered.

The future study of basic problems in the course of Iran-US negotiations and the role of think tanks in this area have also been examined. The most important factors causing problems in the mentioned path include the non-proliferation lobby, the human rights lobby, the financial affairs lobby, the regional and global lobby, the set of Israeli lobbies, etc. Based on this, scenarios such as negotiations or a weak agreement (regardless of the JCPOA) and revival of the JCPOA in its

current form or a stronger and longer agreement have been examined.¹³

The principles and positions of American foreign policy against terrorism and the role of think tanks in these policies have been examined. The research method is descriptive-analytical. The method of collecting information is library. The data collection tool is taking notes. The data analysis

⁸ Fiedler, R., & Dehnavi, E. A. (2024). Navigating Engagement with Iran: Exploring US Strategies and Options: A Futuristic Scenario and Review.

⁹ Fiedler, R. A., & Dehnavi, E. A. (2024). *The Styles in the American Politics Volume II, Conservative Think tanks and their Foreign Policy: A Booklet*. ResearchGate.

¹⁰ Ali, A., Ellias, D. A., & Mobin, K. (2020). Mexican immigrants challenges for American Identity. *Journal of Critical Reviews*, 7(6), 945-950.

¹¹ Ellias, D, Daheshiar, H. (2020). Changes and indicators of trump's new immigration policy plan, *Journal of Economics and Administrative Sciences*, 1- 10.

¹² Dehnavi, E., Alizadeh Jamal, Mohammad, (2020). *From Containment to Americanism*, TRD GmbH.

¹³ Dehnavi, E. A., & Adami, A. (2022). Futuristic research of basic problems in the way of negotiations between Iran and the United States: 10.2478/bjlp-2022-002064. *Baltic Journal of Law & Politics*, 15(3), 888-899.

method is qualitative. The results have shown that terrorism has always been used as a tool to advance American foreign policy. American foreign policy has been able to fill the vacuum of American foreign policy that was created by the end of the Cold War with the fight against terrorism. This country at least uses the concept of terrorism to label its opponents and actually supports terrorist groups to advance its interests. This strategy can be considered as one of the biggest effects of the intervention of this country's think tanks in the American foreign policy.¹⁴

The policies and strategies of governments in different fields are a function of individual variables, government variables, social factors and environmental variables.¹⁵ Therefore, the think tanks also present their policies to the governments by considering the mentioned cases in such a way that they can have the highest level of effectiveness.

As can be seen, in all the studies conducted around the adoption of effective strategies and policies by countries or the role of think tanks, it has not been considered. If considering the influence of think tanks in these policies, only areas such as foreign policy, international relations and immigration policies have been considered. Therefore, the role of these think tanks in determining efficient economic strategies has not been studied. Therefore, the purpose of this study is to investigate the influence of US think tanks in providing economic strategies.

Income Inequality and Wealth Distribution

Slower than expected economic growth, unfavorable economic indicators such as inflation, lack of economic diversity and inequality of income and distribution of wealth are among the most important economic problems, which has made the need to provide efficient strategies in this area even more necessary.¹⁶

¹⁷Conservatives support policies that encourage individual success, under the belief that these measures will lead to wealth creation that eventually helps all levels of society—a concept known as "trickle-down economics". In contrast, liberals often advocate for progressive taxation and robust social programs as tools to address and reduce income

disparities. They believe these policies can lead to fairer distribution of wealth.¹⁷

Capital-Driven Growth vs. Demand-Driven Stimulus

The main growth driver for conservatives is nothing but capital, and capital is the factor that is controlled by wealthy industry leaders. In addition, the conservatives point to the slowdown in business planning and criticize it because of frequent changes in economic policies and regulations. These people argue that regulation should be reduced in order to increase competition, but the important point is that this may lead to higher monopoly risk and lower returns, which conservatives ignore. Because if it is like this, instead of expanding or competing, businesses will focus on maximizing their profits, which will definitely not have good consequences.¹ In this regard, there are policies that are often used with appropriate purposes, but are ultimately considered incorrect because they may lead to long-term negative effects afterward. Such policies include increasing home ownership, setting minimum wages, and implementing loose monetary policies.¹

Liberals, on the other hand, argue that the main driver of economy is demand and not the capital. They emphasize the importance of empowering middle- and lower-income earners to stimulate growth. Furthermore, they believe that to keep a competitive and fair market, sophisticated regulations should be implemented to avoid the emergence of monopolies.¹ They argue that private sector activities, including leverage and speculation are more prone to cause recurring booms and busts, causing government bailouts and stabilization policies.¹

Social safety nets vs welfare programs

¹⁸The debate over social safety nets and welfare programs revolves around differing views on government involvement in supporting individuals in need. Conservatives generally advocate for a limited welfare state to promote personal responsibility. They argue that extensive welfare programs can create dependency and reduce incentives for self-reliance. Conversely, liberals tend to support more comprehensive social safety nets, including

¹⁴ Dehnavi, E. A., & Tabatabaei, S. M. (2021). Principles and positions of US foreign policy against terrorism. *EFFLATOUNIA-Multidisciplinary Journal*, 5(2).

¹⁵ Dehnavi, E., Zargarbashi, S. R., (2020). Factors affecting Canada's Foreign Policy, Conference: BASIC AND APPLIED RESEARCHES IN the MODERN WORLDat: St. Petersburg, 1-7.

¹⁶ Dehnavi, E. A., & Nourmohammadi, M. (2023). Factors of the prevalence of authoritarianism and the push on democratization in the Middle East.

¹⁷ <https://www.investopedia.com/terms/i/income-inequality.asp>

<https://fee.org/articles/the-new-trickle-down-theory-of-economics/>

¹⁸ <https://www.brookings.edu/articles/the-state-of-the-social-safety-net-in-the-post-welfare-reform-era-with-comments-and-discussion/>

<https://www.pewresearch.org/politics/2017/10/24/5-views-of-the-economy-and-the-social-safety-net/>

unemployment benefits, healthcare, and housing aid. They believe such programs are essential for providing a safety net for vulnerable populations, reducing poverty, and addressing social inequality.¹⁸

Rules vs. Flexibility

¹⁹ Conservatives prefer automatic policy rules over discretionary actions, as their support for this action could be tied to their belief in supply-side economics. The idea from the Laffer curve theory that tax cuts for the wealthy will stimulate growth aligns with their preference for predictable and consistent policies like fixed money supply growth rates and balanced budgets. However, supply-side economics has faced criticism for not always producing the intended results.¹⁹

¹Contrarily, Liberals believe that modern economies are susceptible to various shocks—such as wars, technological advances, and commodity price fluctuations—requiring flexible and responsive policy measures rather than rigid rules.¹ They argue that automatic rules cannot account for situations like markets that naturally lack competition.

Economic Stabilization Tools

²⁰ Conservatives believe that a factor such as monetary policy is a precise tool for managing inflation and supporting economic growth, and they state their reason as such that this factor is controlled by central banks that use tools such as interest rates and money supply control. In addition, these people state that due to the decisions made in government spending and taxes, fiscal policies are a factor in which most of the abuse is raised.²⁰ ¹ In this regard, conservatives note that the factor that can increase the budget deficit and national debt is nothing but financial interventions as this will eventually lead to the loss of private investments. In this regard, it is important to refer to the liberals because their argument is that monetary policy is insufficient to manage the sudden decrease in aggregate demand. They argue that lower interest rates during a downturn may not be effective if borrowers are reluctant to incur more debt. Liberals support boosting public spending on infrastructure, education, and unemployment benefits to stimulate demand and aid recovery.¹

Inflation

²¹ Inflation, from the conservative point of view, is due to the existence of too much money in the economy compared

to the number of goods available. In this regard, it has been stated that expansionary monetary policies will cause inflationary pressure, especially when the central bank has injected more money into the economy in order to deal with the economic recession in order to stimulate economic growth. But conservatives argue that such a thing can have the opposite effect because of facing increase in prices and reduction of buying power. In this regard, liberals believe that the mentioned case is not the only result of excessive monetary expansion and state that inflation is often caused by the increase in production costs rather than the excessive abundance of money. In addition, regarding the issue that an increase in money supply does not necessarily lead to high inflation, there are historical examples that support this view.²¹

It is worth noting that an important factor that plays a fundamental role in shaping public policy debates, providing research and influencing laws is the participation of US think tanks in economic policy making. The mentioned think tanks are generally classified into two ideological groups involving conservative and liberal. However, it should be noted that their impact is different based on the supported economic principles and their proximity to government decision makers and the public discourse they create is not the same.

Here's a general breakdown of the comparison between conservative and liberal think tanks in U.S. economic policymaking:

Key Conservative Think Tanks:

1. *Heritage Foundation*
2. *American Enterprise Institute (AEI)*
3. *Cato Institute*
4. *Hoover Institution*

Key Liberal Think Tanks:

1. *Brookings Institution*
2. *Center for American Progress (CAP)*
3. *Economic Policy Institute (EPI)*
4. *Roosevelt Institute*

Focus of Conservative Think Tanks:

- **Tax Policy:** Conservative think tanks generally advocate for lower taxes, often supporting tax cuts

¹⁹ <https://www.investopedia.com/terms/l/laffercurve.asp#:~:text=The%20Laffer%20curve%20shows%20the,disincentivizes%20workers%20from%20earning%20wages.https://www.americanprogress.org/article/the-failure-of-supply-side-economics/>

²⁰ <https://www.investopedia.com/ask/answers/100314/whats-difference-between-monetary-policy-and-fiscal-policy.asp>

²¹ <https://www.investopedia.com/terms/i/inflation.asp>
<https://blogs.stthom.edu/cameron/conservatives-vs-liberals-the-economic-debate/>

for corporations and higher-income individuals with the argument that this stimulates economic growth.

- **Regulation:** There is typically a strong push for deregulation, including relaxing environmental, financial, and labor market rules, as a way to foster business investment.
- **Spending Cuts:** They often support reducing federal spending, particularly on social welfare programs, with a focus on reducing the deficit.
- **Free Market Solutions:** Advocating for policies that reduce government intervention in the economy and promote free-market capitalism.

Focus of Liberal Think Tanks:

- **Tax Policy:** Liberal think tanks generally advocate for more progressive taxation, aiming to increase taxes on higher earners and corporations to reduce income inequality and fund social programs.
- **Government Spending:** They often support expanded government spending on social programs, healthcare, education, and infrastructure, arguing that these investments promote long-term economic growth and reduce inequality.
- **Regulation:** There is typically an emphasis on more stringent regulation, particularly concerning environmental policy, labor protections, and

corporate governance, aimed at promoting sustainability and fairness.

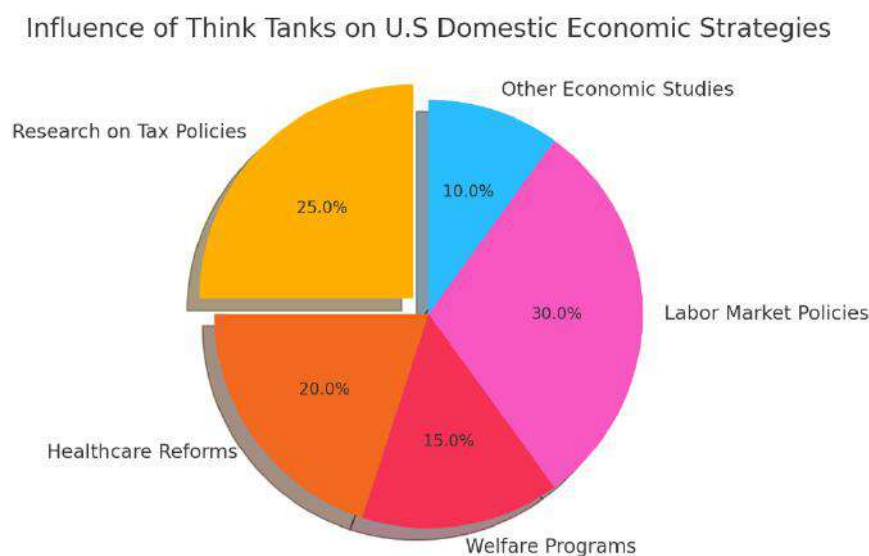
- **Social Equity:** Liberal think tanks often focus on addressing economic inequality, arguing for policies that redistribute wealth and provide greater economic opportunities for marginalized groups.

III. COMPARISON ANALYSIS

It is considerable that, presenting a framework for the domestic economic strategies of the United States is something in which think tanks play a significant and fundamental role. These think tanks wield their influence through research, publications, and recommendations aimed at policymakers, legislators, and the general public across various sectors related to the economy. These issues include tax policies, healthcare reforms, welfare programs, and labor market policies.

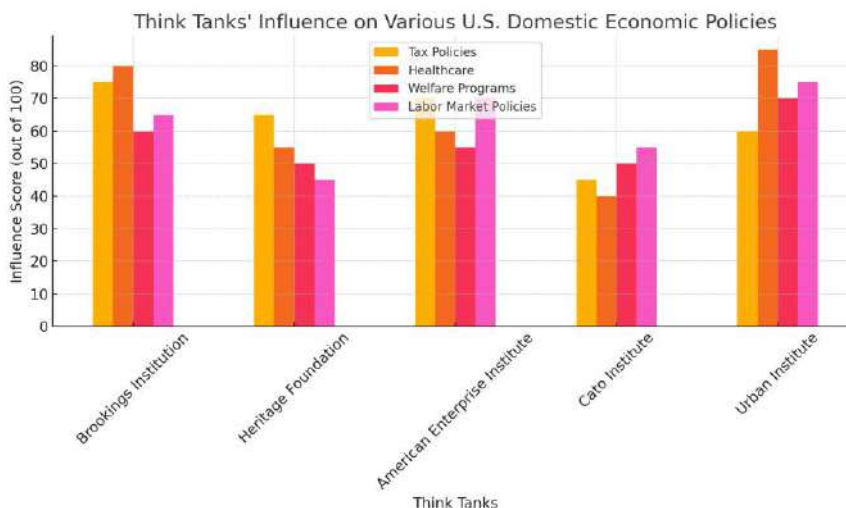
Prominent think tanks are important in this regard because they provide insights that lead to the determination of government decisions as well as long-term strategies in the field of sustainable economic growth. For example, we can refer to important think tanks such as Brookings Institution, Heritage Foundation, and American Enterprise Institute. The pie chart provides appropriate information in this field and shows the distribution of think tank concentration in different areas of US economic policy, which is considered important in all areas:

Figure I:



The bar chart below provides a comparative analysis of how various think tanks influence specific U.S. domestic economic policies:

Figure II:



1. Tax Policy:

- Conservative think tanks argue for a supply-side approach, where tax cuts, particularly for the wealthy and corporations, are seen as a way to promote growth.
- Liberal think tanks promote a demand-side approach, emphasizing higher taxes on the wealthy to fund social programs and reduce inequality.

2. Economic Regulation:

- Conservative institutions tend to view regulation as a barrier to business and advocate for its reduction.
- Liberal think tanks support regulation to address social inequities, promote environmental sustainability, and protect consumers.

3. Government Role in the Economy:

- Conservative think tanks advocate for a smaller government footprint, believing the private sector can deliver more efficient outcomes.
- Liberal think tanks argue for a more active government role in managing the economy, particularly to address market failures and inequities.

4. Influence:

- Conservative think tanks like the Heritage Foundation have played key roles in shaping Republican economic policy, particularly during the Reagan era and under Trump.
- Liberal think tanks such as the Center for American Progress have been influential in shaping Democratic policy agendas, particularly under the Obama and Biden administrations.

Influence of Think Tanks in Policymaking:

In order to get a comprehensive understanding of the undeniable role of think tanks in shaping the domestic economic policies of the United States, several political theories can be mentioned in this field. It should be noted that each of these theories presents a different perspective on how these institutions influence the decision-making process in important and vital fields. In the following, some political theories are mentioned which are related to the essential role of think tanks in shaping the economic policy and help to describe this issue:

1. Elite Theory

What is proposed in the theory of elites is that a small group of elites, which includes individuals and institutions, have the most power and influence considering public policy. These elite actors in the political system are the same think tanks that are often financed and supported by wealthy individuals, corporations and foundations which depend on these institutions to exert their influence. These institutions provide content that is aligned with the interests of political and economic elites. Content including research, reports and policy recommendations. Think tanks often play their role in the domestic economic policy framework of the United States in a way that favors corporate elites or wealthy individuals, often benefiting from tax reform, deregulation, and economic policies in this direction.

Application to Think Tanks:

- Think tanks like the **Heritage Foundation** and **American Enterprise Institute** are influential in promoting pro-business policies.
- Their research and advocacy efforts can shape economic policies like tax cuts, deregulation, and labor laws in ways that align with the preferences of elites.

2. Pluralism

Pluralism perceives politics as a struggle between various groups of interests and the distribution of power among numerous organizations. This view holds that think tanks are just one of many interest groups that influence the debate of public policy. Within the framework of pluralistic activities, think tanks can influence economic policies, but in order to do so, they must provide research that serves different ideological or interest-based positions. They compete with other actors such as lobbyists, media, and political parties to shape public policy.

Application to Think Tanks:

- Think tanks such as **Brookings Institution** or **Urban Institute** represent different ideological perspectives on economic issues.
- They engage in the marketplace of ideas, providing policymakers with competing viewpoints on tax reform, healthcare policy, and labor regulations.

3. Bureaucratic Politics Model

In another political model called the bureaucratic policy model, the results of competitive processes, negotiations and compromises between different bureaucratic actors are considered to be the results of politics. In this context, think tanks play a vital role by providing specialized knowledge and shaping the preferences of various government agencies. However, it is important to note that these think tanks are outside the government, but they will have their impact. Policymakers within bureaucracies often rely on think tanks to justify decisions or provide alternative perspectives that align with their department's goals.

Application to Think Tanks:

- There are numerous examples of think tank research being used by government officials to support their preferred economic policies. In other words, in the direction of preferential interests, we can point to the example that a sector focused on economic growth may rely on think tanks that defend deregulation or free market principles.
- Think tanks can also have an impact on government bureaucrats' agenda regarding economic policy, particularly while it comes to developing long-term plans for social welfare and economic regulation.

4. Groupthink

Another theorist named Irving Janis proposed a theory called groupthink theory and through it showed that decision making in interconnected groups can lead to the adaptation of ideas. Furthermore, it has been argued that this potentially stifles alternative views. Think tanks, especially those ideologically aligned with specific administrations or

political parties, can fall into a form of groupthink by promoting a unified set of policy recommendations. This is especially evident when think tanks have direct access to policymakers and influence discussions without sufficient external critique.

Application to Think Tanks:

- Conservative think tanks may consistently produce research that aligns with Republican economic strategies, while liberal think tanks might do the same for Democratic policies.
- Groupthink within think tanks can limit innovative solutions or a broader range of economic policy options if alternative viewpoints are not adequately considered.

5. Neoclassical Realism

The factor that leads to combining the insights of structural realism with domestic-level variables is nothing other than neoclassical realism, and in this context, it demonstrates that both external constraints and internal factors are also influential in shaping foreign and domestic policy decisions. Although this theory is primarily employed in the framework of foreign relations, it can also be used to explain how domestic politics—including the influence of think tanks—might affect U.S. economic policies. In this framework, think tanks play a critical role in defining the domestic interests that influence national policy, including economic strategies.

Application to Think Tanks:

- Think tanks provide the domestic-level analysis needed to navigate international economic issues, such as trade policies, which are influenced by both global market structures and domestic economic priorities.
- They help mediate between external economic pressures (such as globalization) and internal political considerations (such as job creation and tax policies).

6. Constructivism

Another theory has been proposed that emphasizes the importance of ideas, beliefs and norms in shaping political behavior and results. This theory is called constructivism theory. In this regard, think tanks are mentioned as important players who play a significant role in building narratives and guiding norms of economic policy. These people have played a significant role in the process of forming public understanding of economic issues and draw a clear framework in the field of discussion around tax reforms, health care, and welfare. Therefore, in this way,

they influence what is considered "acceptable" or "desirable" economic policy in this regard.

Application to Think Tanks:

- Think tanks construct and disseminate ideational frameworks for economic policies, such as the idea that "free markets lead to prosperity" or that "government intervention is necessary for social equity."
- Organizations like the **Cato Institute** promote libertarian ideals, influencing economic debates on minimal government intervention in markets, while institutions like the **Economic Policy Institute** advocate for policies rooted in fairness and labor rights.

7. Two-Level Game Theory

The well-known theoretician named Robert Putnam also introduced Two-Level Game Theory, according to which political leaders should balance two important factors, domestic and international considerations, when making political decisions. Think tanks influence the domestic level by shaping public opinion and providing policy recommendations that align with domestic political needs, which then inform international economic strategies.

Application to Think Tanks:

- Think tanks help bridge the domestic and international realms by offering strategies that balance U.S. economic policies with global economic challenges like trade agreements, tariffs, or international financial regulations.
- Their research on domestic economic concerns often influences how the U.S. negotiates and engages in global economic policymaking.

8. Policy Network Theory

The interdependence of different actors in the policy-making process, such as think tanks, governmental agencies, and private sector groups, is highlighted by policy network theory. Think tanks are part of complex policy networks where they interact with legislators, lobbyists, government

officials, and industry experts to shape economic policy outcomes.

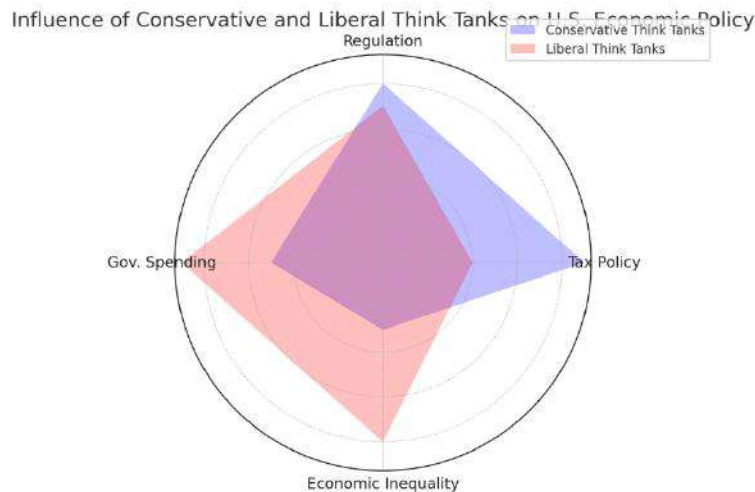
Application to Think Tanks:

- Think tanks exert their influence on U.S. domestic economic policy by being parts of broader political networks and coalitions. In addition, the influence on the formulation of economic strategies is done through reports, discussion and their cooperation with other influential institutions.
- For instance, there are two institutions, named the Council on Foreign Relations and Center for American Progress, which cooperate with policymakers so that they can match and align domestic economic policy with broader strategic goals in order to exert better influence.

Overall, it is possible to characterize the function of think tanks in offering a framework for US domestic economic policies, which is highly significant when taking into account all political issues, by looking at a number of political theories, including elite theory, pluralism, neoclassical realism, and policy networks. These institutions contribute to the framing of economic debates, provide intellectual justifications for various vital policies, and often employs its intermediary role between political elites, government officials, and the public. Their influence is particularly evident in areas like tax reform, labor market regulation, and social welfare, where their research is regarded as a key factor to shape both public opinion and legislative action.

In general, it can be said that conservative think tanks have played a crucial role in promoting economic policies such as tax cuts (like the 2017 Tax Cuts and Jobs Act), deregulation (especially in the energy and finance sectors), and welfare reform. It should also be noted that liberal think tanks have influenced many policies that have been debated, such as the Affordable Care Act, stimulus packages during the Great Recession, and recent calls for a higher minimum wage, health care expansion, and infrastructure spending has been under the financial support of the Biden administration.

Figure III:



The figure, is the radar chart comparing the influence of conservative and liberal think tanks on U.S. economic policy across four key areas: tax policy, regulation, government spending, and economic inequality.

Key Insights:

Tax Policy: Conservative think tanks tend to have a much stronger influence, pushing for tax cuts and lower taxes.

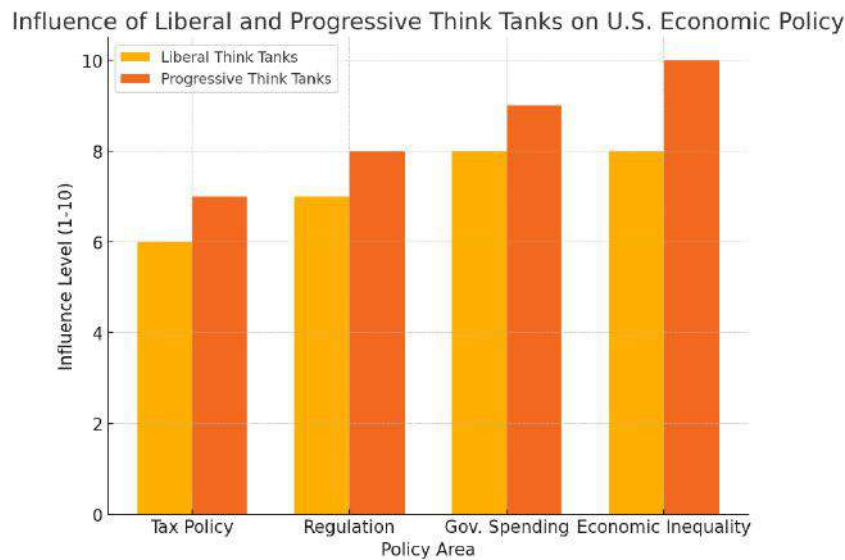
Regulation: Both groups are influential in different ways; conservatives advocate for deregulation, while liberals push for more regulatory oversight.

Government Spending: Liberal think tanks tend to promote more government spending on social programs, while conservative think tanks favor spending cuts.

Economic Inequality: Liberal think tanks focus more on reducing economic inequality, with policy recommendations centered on progressive taxation and wealth redistribution.

This chart illustrates the differing levels of influence that each ideological group has in shaping these key policy areas

Figure IV:



Here is the bar chart comparing the influence of liberal and progressive think tanks on U.S. economic policy across four key areas: tax policy, regulation, government spending, and economic inequality.

This comparison shows that while both groups share similar goals, progressive think tanks often push for more radical and far-reaching policy changes than their liberal counterparts.

REFERENCES

- [1] Dowdenr. (2017, April 13). *Conservatives vs. Liberals: The Economic Debate* - Cameron School of Business Blog. Cameron School of Business Blog. <https://blogs.stthom.edu/cameron/conservatives-vs-liberals-the-economic-debate/>
- [2] Molinuevo, M., & Sáez, S. (2014b). *Regulatory Assessment Toolkit: A Practical Methodology For Assessing Regulation*

- on Trade and Investment in Services. In *The World Bank eBooks*. <https://doi.org/10.1596/978-1-4648-0057-3>
- [3] Pew Research Center. (2024, April 14). 5. Views of the economy and the social safety net. <https://www.pewresearch.org/politics/2017/10/24/5-views-of-the-economy-and-the-social-safety-net/>
- [4] Dehnavi, E. A. (2024). The Trump Doctrine: Redefining US Foreign Policy through Immigration, Security, and Diplomacy. *International Journal of Humanities and Education Development (IJHED)*, 6(5), 26-28.
- [5] Dehnavi, E. A. (2024). An Analytical Examination of Iran-USA Relations Post-Islamic Revolution: Extended Scientific Review. *International Journal of Humanities and Education Development (IJHED)*, 6(5), 23-25.
- [6] Dehnavi, E. A., & Safavipour, A. (2024). Decoding Iran's Proxy Strategy: Determent or Destabilization? A Review and Scientific Commentary. *International Journal of Humanities and Education Development (IJHED)*, 6(5), 1-6.
- [7] Dehnavi, E. A., & Fiedler, R. (2024). Adventures of Two Captains' Trilogy and US Exceptionalism in their Foreign Policy: Manifestation of Think Tanks in a literary work.
- [8] Fiedler, R., & Dehnavi, E. A. (2024). Navigating Engagement with Iran: Exploring US Strategies and Options: A Futuristic Scenario and Review.
- [9] Fiedler, R. A., & Dehnavi, E. A. (2024). The Styles in the American Politics Volume II, Conservative Think tanks and their Foreign Policy: A Booklet. ResearchGate.
- [10] Ali, A., Ellias, D. A., & Mobin, K. (2020). Mexican immigrants challenges for American Identity. *Journal of Critical Reviews*, 7(6), 945-950.
- [11] Ellias, D., Daheshiar, H. (2020). Changes and indicators of trump's new immigration policy plan, *Journal of Economics and Administrative Sciences*, 1- 10.
- [12] Dehnavi, E., Alizadeh Jamal, Mohammad, (2020). From Containment to Americanism, TRD GmbH.
- [13] Dehnavi, E. A., & Adami, A. (2022). Futuristic research of basic problems in the way of negotiations between Iran and the United States: 10.2478/bjlp-2022-002064. *Baltic Journal of Law & Politics*, 15(3), 888-899.
- [14] Dehnavi, E. A., & Tabatabaei, S. M. (2021). Principles and positions of US foreign policy against terrorism. *EFFLATOUNIA-Multidisciplinary Journal*, 5(2).
- [15] Dehnavi, E., Zargarbashi, S. R., (2020). Factors affecting Canada's Foreign Policy, Conference: BASIC AND APPLIED RESEARCHES IN the MODERN WORLDAt: St. Petersburg, 1-7.
- [16] Dehnavi, E. A., & Nourmohammadi, M. (2023). Factors of the prevalence of authoritarianism and the push on democratization in the Middle East.
- [17] Kopp, C. M. (2024, June 20). *Income Inequality Definition: Examples and How It's Measured*. Investopedia. <https://www.investopedia.com/terms/i/income-inequality.asp>
- [18] Kowalski, D. (n.d.). *The New Trickle-Down Theory of Economics*. Foundation for Economic Education. <https://fee.org/articles/the-new-trickle-down-theory-of-economics/>
- [19] Meyer, B. D., Jencks, C., Hoynes, H. W., & Bitler, M. P. (2010b, September 1). The State of the Social Safety Net in the Post-Welfare Reform Era [with Comments and Discussion]. *Brookings*. <https://www.brookings.edu/articles/the-state-of-the-social-safety-net-in-the-post-welfare-reform-era-with-comments-and-discussion/>
- [20] Pew Research Center. (2024, April 14). 5. Views of the economy and the social safety net. <https://www.pewresearch.org/politics/2017/10/24/5-views-of-the-economy-and-the-social-safety-net/>
- [21] Hayes, A. (2024, May 31). *Laffer Curve: History and Critique*. Investopedia. <https://www.investopedia.com/terms/l/laffercurve.asp#:~:text=The%20Laffer%20curve%20shows%20the%20disincentivizes%20workers%20from%20earning%20wages>
- [22] Ettliger, M. and Linden, M. (2012, August 1). *The failure of supply-side economics*, Center for American Progress. Available at: <https://www.americanprogress.org/article/the-failure-of-supply-side-economics/>
- [23] Segal, T. (2023, September 25). *Monetary Policy vs. Fiscal Policy: What's the Difference?* Investopedia. <https://www.investopedia.com/ask/answers/100314/whats-difference-between-monetary-policy-and-fiscal-policy.asp>
- [24] Fernando, J. (2024, September 27). *Inflation: What It Is and How to Control Inflation Rates*. Investopedia. <https://www.investopedia.com/terms/i/inflation.asp>

Investigating the Effectiveness of Online Interactive Modules on Enhancing Mathematical Proficiency in Grade VI Students of Phuentsholing Primary School

Raj Kumar Chhetri, Sangay Penjor

Department of Education, Phuentsholing Primary School, Bhutan

Received: 15 Sep 2024; Received in revised form: 12 Oct 2024; Accepted: 20 Oct 2024
©2024 The Author(s). Published by TheShillonga. This is an open-access article under the CC BY license
(<https://creativecommons.org/licenses/by/4.0/>)

Abstract

This study examined the effectiveness of online interactive modules in improving mathematical proficiency among Grade VI students in Phuentsholing Primary School, focusing on the concepts of ordering fractions and rotation. The mixed-methods approach was used where 27 students participated in three-week intervention involving online learning tools. Data were collected through pre-tests and post-tests, surveys, and observations. The results were analyzed using Statistical Package for Social Sciences (SPSS version 22) and it demonstrated significant improvement in students' understanding, with mean test scores increasing from 2.00 to 4.96 for ordering fractions, and from 0.63 to 4.63 for rotation. Surveys indicated a positive shift in students' perceptions towards using digital tools for learning, with increased engagement and enjoyment. Qualitative analysis was derived through thematic coding and it revealed that dynamic simulations and instant feedback were key elements in facilitating understanding. Despite overall gains, some students continued to find the rotation concept challenging, as reflected in the higher post-test score variability. The study highlighted the potential of online interactive modules to enhance mathematical learning, suggesting further exploration into differentiated support for complex topics. These findings have implications for integrating technology in educational practices in Bhutan.

Keywords— *Mathematical Proficiency, Ordering Fractions, Online Interactive Modules, Rotation, Technology Integration*

I. INTRODUCTION

Mathematics has always been a part of the lives of human-beings. It is concerned with not only the everyday problems but also with using imagination, intuition, and reasoning to find new ideas to solve puzzling problems (Khan, 2015). These mathematical proficiency are a crucial component of primary education which forms the foundation for future academic success and practical life skills in students. The mathematical skills range from every little thing in their lives, from counting the number of potatoes to make fries to equating the number of words and numbers in their schools, exams, and daily lives.

With the change of the educational landscape and the needs of the time, the way students and teachers engage in the teaching and learning process has also drastically transformed. The long-lasting traditional method has long been encouraged to be discarded, especially in Bhutan, and more engaging methods are being recommended. In this light, the online interactive modules come alive. With the

rise of technology in education, online interactive modules present an eminent strategy to enhance mathematical learning. It also leverages technology to provide a more personalized learning and allows a targeted intervention (NCTM, 2023).

While many researches show promising findings, there is a need to investigate how this method will unfold in the Bhutanese context. Hence, this research has investigated the effectiveness of the online interactive modules in improving the mathematical proficiency of grade VI students in Phuentsholing Primary School by intervening through the subject topics on ordering fractions and rotation.

II. BACKGROUND / PROBLEM STATEMENT

In addition to the importance of mathematics in an individual life, mathematics is a significant subject in Bhutanese education system. It is treated as a main subject, where not acquiring the required score in this subject fails

the students despite excellent score in other subjects. The Bhutanese mathematics curriculum has undergone numerous transformation due to the changing needs of the Bhutanese students and the global standards (Dorji & Tshering, 2020). It derives its significance from its innate quality of unlocking opportunities in Science, Technology, Engineering and ensuring competitiveness in the fast-changing world by instilling the mathematical skills. Mathematics skills comprise computation, reasoning, problem-solving, and clear communication of mathematical concepts (Ministry of Education and Skills Development, 2023). While it is important to master the skills of mathematics, it is equally difficult to comprehend these skills by the students in primary education.

Grade VI Students in Phuentsholing Primary School frequently encounter problem with the procedural knowledge of the mathematics. While they comprehend the conceptual knowledge during the teacher-led learning, however when the time comes to do it independently, they struggle to apply the learned concept, leading to a loss of confidence and an inability to connect and solve problems efficiently. Especially in the mathematical concepts like ordering fractions and rotation of shapes. These concepts require students to visualize the abstract concepts and then apply it in their solution. The fraction concepts require a strong grasp of the numerical value and its size-relationship, and the process of converting the fractions to a common denominator from the mixed and improper fractions can be challenging. Moreover, the concept of rotation poses a cognitive load on the students to remember and visualize the original position and then its shape when rotated.

To address these challenges, the mathematics teachers employ hands-on activities and intensive problem-solving exercises. However, given the large class size and time constraints, this strategy appears inadequate and ineffective. Consequently, leveraging technology in our digitalized world seems like a more promising approach to helping students develop their mathematical skills. The dynamic visual, auditory, and instant feedback features of online interactive modules can provide assistance in cementing the conceptual knowledge in their procedural knowledge. Moreover, it can help provide an opportunity and experience to students to try out the concepts in ways that would be impossible in the classroom setting. Thus, this research investigated the effectiveness of the online interactive modules in addressing these issues of mathematical proficiency by incorporating a mixed-method approach of the research.

Research Questions

The key questions this study will try to investigate are as follows:

1. How do the online interactive modules impact students' proficiency in specific mathematical topics like ordering fractions and rotation?
2. Which features of the modules, such as dynamic simulations, instant feedback, or interactive games, most enhance students' understanding of ordering fractions and rotation?

Research Objectives

The specific objectives of this study are as follows:

1. To assess the effectiveness of online interactive modules in enhancing the mathematical proficiency of Grade VI students by comparing pre-test and post-test results on the topics of ordering fractions and rotation.
2. To identify and analyze, through observations open-ended survey questionnaires, the specific elements of the online interactive modules (e.g., simulations, quizzes, games, feedback mechanisms) that significantly contribute to the improvement of mathematical proficiency among Grade VI students.
3. To analyze the perceptions of Grade VI students towards the use of online interactive modules, using survey responses and thematic analysis of observations and open-ended survey questionnaires, to understand their engagement, motivation, and perceived learning benefits.

III. SIGNIFICANCE OF THE STUDY

The aim of this study is to investigate the effectiveness of online interactive tools in enhancing mathematical proficiency in grade VI students. Through this study, the researchers built and provided a concrete analysis and an action of the ways technology can be used in teaching and learning process of mathematics. Through this, it provided an opportunity to students to explore and reach their potential by experimenting and constructing mathematical concepts. Moreover, on a minor note, it also helped students learn the right and productive use of technological tools for learning. It provided an insight to teachers to explore online interactive modules to teach mathematical concepts efficiently and effectively. On the broader part, this study also served as a useful document to the stakeholders in their decision-making process in terms of integrating technologies in the education system. Addressing issues related to the mathematical concepts is an important component in the academic growth and quality of education and would go a long way in proving the standards of the Mathematics in Bhutan and hence, a quality education.

IV. LITERATURE REVIEW

Technology in Mathematics Education

Mathematics is the backbone of many disciplines such as engineering, science, business, and computer science (Yong & Gates, 2016), and the use of technology is important in making sense of mathematical concepts (Akkaya, 2016). Technologies have been available in the western school's mathematics classroom since the introduction of simple four-function calculators in the 1970s (Goos, 2010). Teachers are often expected to use digital technology to improve teaching and learning (Loong & Herbert, 2018). Technology is a partner when it provides access to new kinds of tasks or new ways of approaching existing tasks to develop understanding, explore different perspective, or mediate mathematical discussions (Goos, 2010). Introducing technology into the mathematical education transforms the learning ecology so that the new mathematical knowledge and practices may emerge (Steinbring, 2015). However, it can be seen that although technologies have significant potential in teaching and learning process of mathematics, the uptake of technologies is deemed disappointing and the grand visions are not realized (Joubert, 2012). Even in the Bhutanese context, the only form of technologies used in education is for Information and Communication Technology (ICT) classes, where students get to explore twice a week. Some factors such as the lack of access to digital devices, parent's socio-economic background, and teachers' inadequate knowledge that hinders the uptake of technologies in teaching and learning process in Bhutan (Dhendup & Sherab, 2023).

The use of technology in teaching and learning is widely accepted to have gathered sufficient quality data in education (Hegedus et al., 2017; Kerres, 2020). It has the potential to improve the teaching and learning of mathematics, leading to gains in higher order thinking skills as well as student achievement and self-efficacy (Cullen, Hertel, & Nickels, 2020). The National Curriculum of Teachers of Mathematics (2023) asserts technology as essential in teaching and learning mathematics and it enhances students' learning.

Online Interactive Modules

The online interactive modules are the interactive educational tools that enables learners to actively engage with the learning content. It is creative, innovative, and adaptive teaching and learning method that helps students feel comfortable and learn effectively and efficiently (Wijaya & Vidianti, 2019). The online interactive modules are the educational online games, quizzes, and puzzles which provides an engaging experience through its aspects of multi-medias, simulations, and feedbacks. These are easily accessible to students where ever they dwell. For

instance, dynamic geometry software has provided opportunities, especially in teaching geometry, in visualization, dynamic drawing of geometry shapes and exploring various geometric relationships (Akkaya, 2016).

Students' Perceptions and Engagement

Students' perception, belief and feelings towards mathematics and use of technology are important determinants in reinforcing or weakening their mathematics learning. Research has indicated that students' attitude towards mathematics learning with technology is greatly influenced by their attitude towards the subject itself and technology in general (Yong & Gates, 2016). Students' motivation to learn mathematics is built based on their interest, self-efficacy, and attributions (Ifinedo et al., 2020). To motivate students in mathematics learning, many efforts and innovations have been put forward in recent years by integrating digital technology such as video or computer games into mathematics education (Chang, 2019). Similarly, in Bhutan, the National Education Curriculum has integrated incorporated every aspect and features of technology in the lesson plans. Moreover, technology can change the nature of school mathematics by engaging students in more active mathematical practices such as experimenting, investigating, and problem-solving that bring depth to their learning and encourage them to ask questions rather than only looking for answers (Goos, 2010).

The literature reviews of various research papers and books depicts tremendous recommendation for the use of technological tools in teaching and learning mathematical concepts. It has also provided insights on the cautions to be taken while integrating technological tools in teaching and learning process.

V. METHODOLOGY

For this action research study, the mixed-method research approach was employed to investigate the effectiveness of online interactive tools in enhancing mathematical proficiency in grade VI students. The detailed methodology plan for the use of qualitative and quantitative data collection tools are presented below.

Study Sample and Participants

The sampling method for this research is the purposive sampling. The students who could not achieve their pass mark in the mid-term written exam was selected for this research. As per the mid-term result, the student participant totals up to 27 grade VI students from sections A to G. The student participants will be referred to as pseudonym R1, R2, R3, and so on till R27.

Data Collection Tools

The research method and framework adopted for this study was the mixed-method under which tests, survey and questionnaires, and observations were being used.

Baseline Data Collection Tools

The baseline data collection tools that were used in this study are as reflected below.

Pre-Test

The aim of this study was to investigate the effectiveness and bring out improvement in the students, therefore as a yardstick to measure and analyze the present and the latter level of performance of the students through the intervention, the pre-test was used.

A written test was done on the mathematics topics of ordering fractions and rotation. The test papers were developed as per the standard of the grade and in consultation and validated with their mathematics teachers.

Survey

The student participants were asked to fill an online survey questionnaire. They were asked on their perception, familiarity, and opinion with the mathematical concept of ordering fraction and rotation and the online interactive modules.

Observation

Observation was mainly used during the intervention period. The researchers maintained an observational sheet to note the process, engagement, and interaction of the students while they learned about ordering fractions and rotation concepts through the online interactive modules.

Intervention

The intervention process used in this study involved students engaging in online interactive modules to explore on the mathematical concept on ordering fractions and rotation for the period of three weeks with four sessions of 40 minutes each week. The Information and Communication Technology (ICT) lab of the school were used during the conduct of the interventions.

The process involved first a brief initial lesson on the mathematical topic on ordering fractions and rotation delivered by the mathematics teacher (the researcher) which covered the fundamental concepts which set the foundation for further exploration by the students. This was then followed by a short instruction on which online interactive modules to use and how to use it by the researchers.

The online interactive modules comprised of the online manipulative, simulations, videos, games, and quizzes found online on the given topic. Some of the names of the

sources of these online interactive modules and the mathematics topic associated are;

1. Toytheater.com, Mathgames.com, Mathlearningcenter.org, Khanacademy.com, teacher.desmos.com, mathsbot.com and abcya.com for the lessons on ordering fractions

2. Geo-Gebra, Math Playground, and IXL for the lessons on rotation.

Post-Intervention Data Collection Tools

Post-test

Similar to the pre-test, to see the impact of the intervention and for a comparative analysis, the post-test was conducted on the same topic with the same questions of the grade's standard. This helped the researchers comprehend and analyze the effectiveness more efficiently.

Survey Questionnaires

Students were asked to fill the survey questionnaires after the intervention to know their perception on the use of the online interactive modules and the impact it had on their learning process of the mathematical concept.

Data Analysis Method

The research approach being mixed-method, the qualitative part of this study was analyzed using thematic coding and the quantitative part was analyzed using SPSS22 (Statistical Package for the Social Sciences). The themes derived from the questionnaires provided along with the survey and the observation were further interpreted through validation of the information. The data from the surveys and tests were entered in the SPSS and then analyzed thereafter.

Ethical Consideration

To conduct this study, prior permission and consent from the school, teachers, and parents of the participants were requested and the identity of the participants and their results during this study were kept confidential.

VI. FINDINGS

The data collected through-out the course of this study was analyzed according to the guiding questions: 1. How do the online interactive modules impact students' proficiency in specific mathematical topics like ordering fractions and rotation? 2. Which features of the modules, such as dynamic simulations, instant feedback, or interactive games, most enhance students' understanding of ordering fractions and rotation? The online interactive modules used focused on the mathematical concept on ordering fractions and rotation of shapes. The data were collected from 27 students through pre-tests, post-tests, observation and survey questionnaires to capture both quantitative and qualitative improvements.

Test Results

The test was a necessary tool and a yardstick to measure the efficacy of the intervention. Table 1 displays the mean mark

of the pre-test and post intervention test on ordering fractions and rotation respectively.

Table 1: Mean mark of Pre-test and Post intervention test (n=27)

	N	Mean	Std. Deviation
Pre-test on Ordering Fractions	27	2.00	.877
Pre-test on Rotation	27	.63	1.275
Post intervention test on Fraction	27	4.96	.854
Post intervention test on Rotation	27	4.63	1.115
Valid N (listwise)	27		

In the pre-test on Ordering Fractions, the low mean mean = 2.00 and moderate variability in the standard deviation = 0.87 indicate that, prior to the intervention, students struggled with the concept of ordering fractions. Many students performed below the expected proficiency level. However, the post-test on ordering fraction’s scores with the mean = 4.96, standard deviation = 0.854 shows a substantial increase in performance, with the mean near the maximum possible score (5.00). This indicates that students developed a much stronger understanding of the concept after the intervention. The relatively low standard deviation also suggests that most students performed consistently well.

For the pre-test on rotation, the extremely low mean, mean = 0.63, combined with a high standard deviation, standard deviation = 1.275, suggests that students initially struggled with this concept even more than with ordering fractions. Nevertheless, there was also significant variation in student performance, meaning some students understood the concept slightly, while others found it very

difficult. In the post-test on rotation, after the intervention, the mean score improved drastically, mean = 4.63, and the standard deviation = 1.115 remained higher compared to the fraction’s post-test, indicating that some students still faced challenges with this concept, the overall improvement reflects the effectiveness of the intervention in teaching and learning through online interactive modules.

The substantial improvement in both areas of mathematical concept demonstrates that the online interactive tools were highly effective in enhancing students' understanding of both fractions and rotation. However, the slightly higher standard deviation in post-intervention test in rotation suggests that the concept of rotation is more challenging for students to grasp, even after intervention.

For further understanding on the results derived from the tests, one-sample t-test on each of the concept on ordering fractions and rotation were analyzed and are presented in the following tables respectively.

Table 2: One-Sample Test on Pre-test and Post intervention test on Ordering Fraction

	Test Value = 0					
	t	df	Sig. (2-tailed)	Mean Difference	95% Confidence Interval of the Difference	
					Lower	Upper
Pre-test on Ordering Fractions	11.84	26	.00	2.00	1.65	2.35
Post intervention test on Ordering Fraction	30.19	26	.00	4.93	4.63	5.30

The results from the one-sample t-test strongly suggest that the online interactive modules had a significant positive impact on the students' ability to order fractions. The large increase in both the t-value (from 11.84 to 30.19) and the mean difference (from 2.00 to 4.93) between the pre-test and post-test demonstrates a substantial improvement in

students' performance after the intervention. The statistical significance ($p < .05$) in both tests indicates that these improvements are unlikely to be due to chance. Furthermore, the relatively narrow confidence intervals, particularly in the post-test, suggest consistency and reliability in the results. Overall, the data provide strong

evidence that the interactive modules effectively enhanced students' mathematical proficiency, with the substantial rise

in test scores reflecting a meaningful improvement in their understanding of ordering fractions.

Table 3: One-Sample Test on Pre-test and Post intervention test on Rotation

	Test Value = 0			Mean Difference	95% Confidence Interval of the Difference	
	t	df	Sig. (2-tailed)		Lower	Upper
	Pre-test on Ordering Fractions	2.56	26		.016	.63
Post intervention test on Fraction	21.54	26	.000	4.63	5.07	

The results from the one-sample t-test on table 3 offer strong evidence that the online interactive modules significantly improved students' understanding of rotation. Initially, the pre-test t-value of 2.56 and a modest mean difference of 0.63 suggest that students had a limited grasp of the concept, demonstrating only a basic level of proficiency. However, the substantial increase in the post-test t-value to 21.54, alongside a mean difference of 4.63, indicates a meaningful and significant enhancement in their knowledge following the intervention. Both tests show statistically significant results, reinforcing that the observed improvements are not random. Additionally, the narrow confidence intervals, particularly in the post-test, reflect the consistency and reliability of the results, providing further validation of the intervention's effectiveness.

In summary, the data with the substantial rise in test scores reflected a meaningful improvement in their understanding of ordering fractions and rotation. It clearly demonstrate that the interactive modules successfully addressed the initial gaps in students' understanding of rotation, resulting in a marked improvement in their overall proficiency. The robust statistical outcomes, combined with the tight confidence intervals, underscore the effectiveness of the modules in boosting students' comprehension of rotational concepts.

Survey Data

The survey questionnaire was conducted twice, one before the intervention and one after the intervention. In the survey questionnaire before the intervention, the open-ended questions were included to capture the detailed perception

on their mathematical learning and their prior idea, use, and perception of online interactive modules.

The open-ended questions asks the students on their perception on the challenging aspect of mathematical concepts and using online interactive modules, the teaching module and the online interactive module they preferred. On these questions, most students listed fraction as the difficult concept and one students, R1 stated that the most challenging part while learning mathematics in class is the concepts of geometry. Not only this, while R1 stated that the online interactive modules makes it visually easy to learn the concept, R1 would prefer teaching and learning in the class with the teacher so as to be able to clear the doubts. Moreover, when asked about their knowledge and use of online interactive module for education, it can be seen that the students had very little idea on the various online interactive modules and has only used the facility of YouTube videos as a mean to learn mathematics concepts. Nevertheless, all students stated their willingness and enthusiasm in using various online interactive modules for learning.

The table below, Table 4, statistically displays the quantitative description of the survey questions which used the likert scale; 1- Strongly Disagree, 2- Disagree, 3- Neutral, 4-Agree, 5-Strongly Agree. After the analysis of the survey response data in the SPSS, it was found that most students when asked if the online interactive modules made their learning mathematics more enjoyable, the mean score on this response was 4 meaning that most students responded as to Agreeing with the statement.

Table 4: Comparative Descriptive Statistics on Survey Questions

	N	Minimum	Maximum	Mean	Std. Deviation
Perception on Interactive Module before intervention	27	17.00	40.00	29.22	5.14
Perception on Interactive Module after intervention	27	26.00	45.00	35.92	4.50
Valid N (listwise)					

This data from table 4, suggests that the intervention—using online interactive modules—had a positive impact on student perceptions. The increase in the mean score (difference of 6.7) and the narrower spread of the standard deviation (difference of 0.64) in the responses in the post-intervention indicate that students generally felt more favorably toward the modules after they had used them. The improvement in both the minimum and maximum scores post-intervention indicates that students who were previously less positive about the module became more favorable after using it, and those who already had positive views either maintained or slightly increased their positivity. Overall, the intervention seems to have contributed to a significant enhancement in student perception, suggesting that the interactive modules were well-received and potentially effective in improving mathematical proficiency through increased engagement.

Key Interactive Features of Online Interactive Modules that Enhanced the Conceptual Understanding

In analyzing the specific features within the online interactive modules that helped enhance the student' learning and understanding, data from open-ended survey questionnaire and observations provide valuable insights. The prominent themes derived through coding the data from these two sources were mostly, improvement, engagement, peer collaboration, individualized learning, and attitude towards learning mathematics. Through observation, it was also revealed that during the use of interactive games on ordering fractions, students were more engaged, often discussing strategies with peers and showing increased enthusiasm. The frequency of students asking doubts to the teacher freely were higher than in the normal class setting. Not only this, while using the online manipulatives, students were seen becoming more enthusiastic and goes on to explore more fraction and rotation problems on their own.

Through the open-ended question, one student commented:

"I like the online interactive modules that we used so far as it helps us understand properly through the simple ways on solving the problem through the blocks that we can carry and shuffle around. "

This clearly depicts the level of engagement and the attitude toward learning mathematics that the online interactive modules provided. Moreover, the students were seen comparing and validating their understanding through the visual representation on the screen and learning on their own pace but with a progressive speed through the games. Some students were even observed exploring and using other features of the online interactive modules that were not mentioned by the researchers.

VII. DISCUSSION

The findings of this study indicate a significant enhancement in students' understanding and performance on the concept of ordering fractions and rotation following the intervention of online interactive modules, evidenced by both quantitative test scores and qualitative observation and survey responses.

The pre-test results highlighted a concerning lack of proficiency in both mathematical concepts, with means of 2.00 for ordering fractions and 0.63 for rotation. However, post-intervention data showed a remarkable increase in mean scores, reaching 4.96 for fractions and 4.63 for rotation. These results not only reflect the efficacy of the online interactive modules but also underscore the potential of technology to transform mathematical learning experiences. The statistical analyses, including one-sample t-tests, further validate these improvements, revealing significant gains that are unlikely to be attributed to chance.

Students engagement and perceptions of learning through the salient features of the online interactive modules emerged as critical factors in this study. The qualitative data from open-ended survey questions and classroom observations indicated that the online modules fostered an environment of active learning. Students reported feeling more comfortable with the content, as the interactive features, such as dynamic simulations, allowed for individualized pacing and collaborative exploration. The enthusiasm observed during peer discussions and interactions with the modules suggested that online interactive modules not only enhances comprehension but also promotes a more engaging and collaborative learning

atmosphere. This findings is in accordance with the existing literature, which showed that students' attitude towards mathematics learning with technology is greatly influenced by their attitude towards the subject itself and technology in general (Yong & Gates, 2016).

Interestingly, while the overall results indicate strong improvements, the higher standard deviation in post-test scores for rotation suggests that this concept remains more challenging for some students. This variance highlights the necessity for further study, ongoing support and differentiated instruction, even in technology-enhanced learning environments. Some students still struggled with rotation despite significant overall gains, pointing to the complexity of spatial reasoning tasks and the need for varied teaching strategies to address diverse learning needs.

The data also reflected that although students seemed skeptical and lacking in using online interactive modules to learn mathematics concept, there was a shift in students' attitudes toward mathematics. The increase in mean scores from the pre-test to post-intervention survey indicates a positive change in perceptions regarding the use of online interactive modules, with students expressing greater enjoyment and engagement in their mathematical learning. This shift is crucial, as student attitudes and self-efficacy are strongly linked to their overall academic success in mathematics.

VIII. IMPLICATION

This study has implications for policymakers, curriculum developers, education and school administrators, teachers, and students. These findings encourage and provides opportunity to think and act in the global standards and use technology to its full potential for the learning process of our students. It provides as a support to curriculum developers, administrators and teachers to provide time and opportunity for students to explore technology within the concept learning.

IX. LIMITATION AND FURTHER RESEARCH

There were several limitation to this study. First the small sample size may limit the generalizability of the study's findings. Second, the open-ended question data collected were self reported through the form by the participants which may have limited their expression. Third, our study only focused on two concept of mathematics, which limits validating its effectiveness in other areas. Hence, further studies could use a larger sample, conduct in-depth interviews, and study on other areas of mathematical concepts.

X. CONCLUSION

In conclusion, this study underscored the transformative potential of integrating online interactive modules into mathematics education. By enhancing student engagement, improving proficiency, and positively influencing attitudes towards learning, technology serves as a vital ally in the quest to develop deeper mathematical understanding. Future research could explore long-term impacts on mathematical proficiency and strategies for addressing remaining challenges, particularly in complex topics like rotation. This study provides valuable insights for educators seeking to implement technology effectively in their teaching practices, emphasizing the need for a thoughtful approach that considers both the strengths and limitations of technological tools in the classroom.

REFERENCES

- [1] Akkaya, R. (2016). Research on the development of middle school mathematics pre-service teachers' perceptions regarding the use of technology in teaching mathematics. *Eurasia Journal of Mathematics, Science, and Technology Education*, 12(4), 861-879.
- [2] Chang, S. H. (2019). Learning mathematics through computer games. 14th Asian Technology Conference in Mathematics , (pp. 45-48).
- [3] Cullen, C. J., Hertel, J. T., & Nickels, M. (2020). The roles of technology in mathematics education. *The Educational Forum*, 84(2), 1-14.
- [4] Dhendup, S., & Sherab, K. (2023). Exploring Bhutanese primary school teachers' technological knowledge. *Journal of Global Education and Research*, 7(2), 116-130. doi:https://www.doi.org/10.5038/2577-509X.7.2.1213
- [5] Dorji, K., & Tshering, P. (2020). Issues and challenges of Bhutanese mathematics curriculum: a view from the exploratory study. *Turkish Journal of Mathematics Education*, 1(1), 1-9.
- [6] Drijver, P. (2013). Digital technology in mathematics education: why it works (or doesn't). *PNA*, 1-20.
- [7] Goos, M. (2010). Using technology to support effective mathematics teaching and learning: what counts? Research Conference (pp. 67-70). Queensland: NCTM.
- [8] Hegedus, S., Laborde, C., Brady, C., Dalton, S., Siller, H. S., Tabach, M., Trgalova, J., & Moreno-Armella, L. (2017). Uses of technology in upper secondary mathematics education. Springer.
- [9] Joubert, M. (2012). Using digital technologies in mathematics teaching: developing an understanding of the landscape using the three 'grand challenges' themes. *Educ Stud Math*, 341-359.
- [10] Kerres, M. (2020). Against all odds: Education in Germany coping with Covid-19. *Postdigital Science and Education*, 2, 690-694. https://doi.org/10.1007/s42438-020-00130-7
- [11] Khan, L. A. (2015). What is mathematics- an overview. *International Journal of Mathematics and Computational*

- Science, 1(3), 98-101.
doi:<http://www.aiscience.org/journal/ijmcs>
- [12] Loong, E. Y.-K., & Herbert, S. (2018). Primary school teachers' use of digital technology in mathematics: the complexities. *Math Ed Res J*, 1-24.
- [13] Ifinedo, e., Rikala, J., & Hamalamen, T. (2020). Factors affecting Nigerian teacher educators' technology integration: Considering characteristics, knowledge constructs, ICT practices and beliefs. *Computers & education*, 146, 1-17. <https://doi.org/10.1016/j.compedu.2019.103760>
- [14] Ministry of Education and Skills Development. (2023). National mathematics curriculum framework. Thimphu: School Curriculum Division.
- [15] NCTM. (2023). Equitable integration of technology for mathematical learning. National Council of Teachers of Mathematics, 1-4.
- [16] Ozdemir, E. (2018). Investigation of prospective math teachers' perceptions about the use of technology in mathematics teaching. *Educational Journals and Reviews*, 13(19), 674-687.
- [17] Steinbring, H. (2015). *The construction of new mathematical knowledge in classroom interaction: An epistemological perspective*. New York: Springer.
- [18] Wijaya, J. E., & Vidianti, A. (2019). The Effectiveness of Using Interactive Electronic Modules on Student Learning Outcomes in Education Innovation Course. *Advances in Social Science, Education and Humanities Research*, 422, 86-89. doi:<http://creativecommons.org/licenses/by-nc/4.0/>.
- [19] Yong, S.-T., & Gates, P. (2016). Digital games and learning mathematics: Student, teacher, and parent perception. *International Journal of Serious Games*, 55-68.

Contribution of School Management Strategies and Effective Supervision on Students' Academic Performance in Secondary School in Iringa Municipality in Tanzania

Castory Lugusi*, Simion Ambakisye, Frola Kasumba

Department of Education, University of Iringa, Iringa Region, Tanzania

*Corresponding author Email: castorylugusi2021@gmail.com

Received: 22 Sep 2024; Received in revised form: 19 Oct 2024; Accepted: 25 Oct 2024

©2024 The Author(s). Published by TheShillonga. This is an open-access article under the CC BY license

(<https://creativecommons.org/licenses/by/4.0/>)

Abstract

The aims of school management are to promote organization, mobilization and expression of both human and material conditions essential to school instructive processes that endorse the learning activities of students. This study examined the contribution of school management and its effectiveness in supervision in enhancing students' academic performance. The primary data were collected using questionnaire tool from 256 respondents. The study applied linear regression analysis, binary logistic regression model, and simple random sampling technique in respondents' selection. The data were analyzed using Statistical Package for Social Science (SPSS ver. 20, IBM, USA). The study findings revealed that students' academic performance in any secondary school set up depends primarily on the proper orientation of school management strategies. Furthermore, the findings revealed that when school management ensure effective supervision by promoting good teachers' payment, teacher professional development, democratic decision-making system as management strategies leads to increase students' academic performance. The study recommended that, democratization of planned school management strategies is vital not only because many conflicts emanate from unequal involvement in implementation of school strategies, but also because school administration, as advocates of school management democratic ideas and school plan, need to practice what they preach in different school meeting.

Keywords— Administration, Democratization, Head of Schools, Students, Teachers

I. INTRODUCTION

Management strategies in schools play a crucial role in the education sector development worldwide, since they influence students' academic performance. Schools which significantly improve educational and student academic performance often have strong management strategies (Jacob & Thilagaraj, 2022). However, as noted by Kemenanabo, (2019), even with a good learning environment in schools, such as the presence of modern libraries and teaching equipment, students from schools lacking effective managerial practices exhibit poor test scores. According to UNESCO, (2014) and Amadi & Edu, (2020) suggest that academic performance and social outcomes reflecting students' commitment and involvement in schools are effectively promoted in institutions with established lines of authority and strong collaborative organizations. Through control, as a managerial strategy, staff attitudes are thoroughly controlled in their interactions with students, including

teaching, grading, punctuality, and other duties (Amadi and Edu, 2020). Strength of school's management strategies influence discipline and order among teachers which improve their performance since poor performance is considered unacceptable and may be viewed as misbehavior (Islam & Tasnim, 2021).

In Tanzania school management strategies includes performing different functions in order to manage students' academic performance; these functions include control students' discipline, involving parents in students' learning process and improving teaching and learning environment (Mabula & Mkulu, 2022). Such leaders are more likely to witness improvements in students' academic performance. School management should be a collective effort shared by teachers and other staff members, fostering connections between them, rather than being limited to formal job titles (Turyatunga *et al.*, 2023). When management practices provided to school leaders with greater autonomy in areas they value highly, lead to

improved students' academic performance (Nghonoli, 2017). Academic performance serves as a benchmark for the effectiveness of school management, which is crucial in motivating teachers and other staff to be effective in their instruction, ultimately impacting students' achievements (Omari & Kiwonde, 2022). The level of accountability of the heads of secondary schools has been questioned due to dynamic academic performance of students in each year (Mabula & Mkulu, 2022).

According to results of Certificate of Secondary Education Examination (CSEE) in Tanzania over the last five years (2014-2019) as reported by the National Examinations Council of Tanzania (NECTA), apprehensions have been raised about the effectiveness of school internal management structures in achieving high academic performance expectations. These concerns extend to the methods used for controlling internal procedures for successful teaching and learning in Tanzanian.

Management issue to the secondary school level is vital for effective teaching-learning and improvement of students' academic performance (Kemenanabo, 2019, Islam and Tasnim, 2021). Management issue as an act of getting things done using people and material resources also stand as the process/structure through which the school supervisors such as head of school, second master, academic master and classroom teachers effectively plan, direct, control and manage the available school resources in order to enable the students perform well academically (Eze, Sunday & Inegbedion 2015 and Kalagbor, 2016). The debate about the role of school management strategies in contributing to a school's academic performance has been strong discussion in comparing student's academic performance in private and public secondary school (Kalagbor, 2016). Students' academic performance in Tanzania stand as the final grade which students get after a systematic and comprehensive measurement and evaluation of the individual student in a school setting through national examination for the purpose of making decision/judgment on his/her cognitive, affective and psychomotor domains (Mabula & Mkulu, 2022).

However, despite the fact that students' academic performance is very important for decision making, especially on the admission of students into institutions of higher learning, observations and studies in recent times have shown that the academic performance of secondary school students in public and private school there is still gaps in the performance of students (Mortuza & Salim, 2018). In this matter due to the fact that syllabus, curriculum, examination structure and guidelines are the same whereby public and private secondary school abide to the same nature but the performance is still very poor in public secondary school compare to private secondary

school which pose a question what are the causes of this difference. Thus, studies such as (Nghonoli, 2017; Mortuza & Salim, 2018 and Kemenanabo, 2019) have investigated several factors influencing students' academic performance in various areas, but it seems that not much empirical research have been conducted on management factors and students' academic performance, especially in Iringa Municipality since all secondary schools abide to the same education policy. The management factors that can cause changes in strategic school management could be internal or external.

There is higher number of students performing between Division I and III compared to those falling into Division zero and IV in private secondary school compared to public secondary schools (URT, 2021). This trend raises doubts about the managerial accountability of heads of schools regarding their daily responsibilities, with a particular focus on the control aspect of school management in public compared to private secondary schools since there is a difference in academic performance. There is little reservation that management factors influence students' academic performance in secondary schools to some extent in Iringa municipality. However, it seems that adequate thoughtfulness has not been given to the influence of management strategies affecting academic performance of students in secondary schools in Iringa municipality, hence the need for this study.

Over the years, students' academic performance in examinations such as National Examination organized by National Examination Council of Tanzania in Tanzania generally which Iringa Municipality is non-exceptional have been different in each year (URT, 2021). Tanzania education policy has been implemented in ensuring that school management perform their duties as planned. The focus of education policy has been to ensure management strategies in secondary schools are in a good control in solving school and students related problems and hereby improving academic performance. The implementation of school management strategies is in line with the current move of promoting the adoption of good and friendly managerial ways including proper resource utilization with the view of improving study environment as perceived to increase students' academic performance.

Despite the potential benefit of school management strategies; there is limited empirical evidence on the influence of school managerial strategies towards students' academic performance. The lack of research insight limits and questions the assessment of school management strategies and its effectiveness in supervision towards ensuring students' academic performance. The literature is rich of knowledge on management strategies used by the

head of schools to ensure students’ academic performance in general (Kalagbor, 2016; Nghonoli, 2017 and Kemenanabo, 2019), but there is paucity of knowledge on the contribution of school management strategies and its effectiveness in supervision in secondary schools towards students’ academic performance since its performance varies each year.

II. MATERIAL AND METHODS

The target population for a study was the entire set of units for which the survey data was used to make inferences. For this study the population comprised secondary schools’ students, teachers, and head of schools. The study applied linear regression analysis, binary logistic regression model. Also, the study employed simple random sampling whereby each person had an equal chance of being selected and the required sample size of respondents was proportionally selected from each selected secondary school. The sample size involved 256 respondents. The sample size was calculated based on the formula described by Kothari, (2004). Data were collected from secondary school: mainly Teachers, Students, and Head of Schools using interviews questionnaire. Both descriptive and quantitative analysis were employed. Statistical Package for Social Science (SPSS ver. 20, IBM, USA) was used to statistics findings.

2.1. Research Approach

The study used mixed method which comprised quantitative and qualitative whereby qualitative was applied in relatively small compared to quantitative method. In this approach, the gathered information was scrutinized by both positivism and constructivism in order to provide a better understanding of research problems in a single study. This approach helped a researcher to overcome the weaknesses of each approach since it provided a clear report as long as one approach in data collection may not be enough for better findings. As Almalki, (2016) states that mixed research method enables the researcher to investigate the issue under study using both words and numbers.

2.2. Research Design

This study employed the convergent parallel design as a framework to guide the fact under study. The convergent parallel design was preferred to this study since it employs both quantitative and qualitative data but analyses each approach independently and compares them and uses the results to make the research problem clearly understood.

Also, convergent parallel design enabled the researcher to ensure validation of data, to prioritize the method equally, to keep the data analysis independently and to look for similarities, differences, contradictions and relationships of two sources of data. In that way, the use of parallel design helped the researcher to minimize time and financial resources because both of the two data gathered at the same time and the researcher required awareness, especially on how to combine the two types of approach since it needs equal balance. Furthermore, the convergent parallel design in this study enabled triangulation during data interpretation and discussion by directly comparing the quantitative and qualitative findings.

2.3. Research Participants

The study population comprised secondary schools’ students, teachers, head of schools and education officers. From this population the researcher got a required data to understand the study under the subject matter.

There was a rational method of estimating the sample size. Thus, in establishing the required sample size, the first step was to decide how large an error to tolerate in the estimate and the second step was to express the allowable error in terms of confidence intervals. The confidence interval depended on whether the estimate is a population mean or a population proportion. According to Berenson et al. (2002), if the interest is in population proportion, then the sample size, n, can be estimated as follows:

$$n = \frac{z^2 p(1-p)}{e^2} \dots\dots\dots (1)$$

Where: Z is the abscissa of the normal curve that cuts off an area at the tails (1 - equals the desired confidence level, e.g. 95%), e is the desired level of precision and p is the estimated proportion of an attribute that is present in the population, e.g. the proportion of students who are registered. With the commonly used 95% confidence level, Z = 1.96, thus equation becomes:

$$n = \frac{1.96^2 p(1-p)}{e^2} , \dots\dots\dots (2)$$

Approximately $n = \frac{4p(1-p)}{e^2} \dots\dots\dots (3)$

$$n_i = 4(0.8) (1 - 0.8)/0.05^2 = 256$$

To obtain exact sample size of each section, the researcher used the proportional sampling techniques as follows:

$\beta_1, \beta_2, \beta_3, \beta_4, \beta_5$ and β_6 = coefficients of variables (β s indicate the degree to which different school management strategies affect students' academic performance).

α = constant term

μ = error term

Binary Logistic Regression Model

Binary logistic regression model was used to address school management strategies which enhance students' academic performance. This model was usefully to determine among the strategies which is the strongest than the other towards enhancing students' academic performance. The model specification is described below.

The logistic regression model is based on the logistic probability function given as:

$$P_i = f(Z_i) = \frac{1}{1 + e^{-Z}} \dots \dots \dots (6)$$

Where P_i is the probability of success i.e. the probability that students' academic performance is affected by appropriate strategies, and Z_i represents exposure to appropriate strategies that may enhance students' academic performance i.e. $Z_i = \alpha + \beta X_i$ and its probability is expressed as:

$$Z_i = \ln \left(\frac{P_i}{1 - P_i} \right) \dots \dots \dots (7)$$

Thus;

$$Z_i = \ln \left(\frac{P_i}{1 - P_i} \right) = \beta_0 + \beta_1 X_1 + \beta_2 X_2 + \beta_3 X_3 + \dots + \beta_n X_n + \mu_i \dots \dots \dots (8)$$

$$Y_i = \beta_0 + \beta_1 X_1 + \beta_2 X_2 + \beta_{14} X_{14} + \epsilon_i \dots \dots \dots (9)$$

Whereby: Y_i = Depend variable X_i = Independent variables

$\beta_1, \beta_2, \beta_3, \beta_4, \beta_5 \dots$ and β_{14} = coefficients of variables (β s indicate the degree to which different school management strategies affect students' academic performance).

α = constant term μ = error term

Where ϵ_i is the error term, P_i is the probability of students' academic performance being affected and

$1 - P_i$ is the probability of the students' academic performance not being affected

Furthermore, the descriptive statistics was used to analyze multiple response questions by presenting percentages of each management strategies for enhancing students' academic performance.

2.5 Ethical Consideration

In this study, the researcher requested a permission letter for data collection from the Vice Chancellor of University of Iringa and from there the protocol was followed from the Regional Administrative Secretary, then to the Municipality Administrative Secretary and lastly to the education leaders who allowed the researcher to collect data in their area. Moreover, during data collection, respondents was educated about the target of the study, its significance and how they would participate by filling consent forms. Pseudo-names were maintained through the use of numbers, symbols and alphabets to ensure confidentiality for the respondents. Also, respondent voluntary participation in the research process was ensured through filling consent form alongside with their privacy by not writing the names of respondents during coding and recording process.

III. RESULTS

School management strategies in contributing to students' academic performance

The results from Table 2 show that F-test is statistically significant implying that it is implausible to find out that the factors built-in in the model do not clarify the variations obtained in school management strategies. Thus, due to such strength it signifies that the null hypothesis (There is no significant relationship between management strategies/approaches and students' academic performance in secondary school in Iringa Municipality) should be rejected and alternative hypothesis (There is a significant relationship between management strategies and students' academic performance in secondary school in Iringa Municipality) being accepted.

Table 2: ANOVA

Model	Sum of Squares	Df	Mean Square	F	Sig.
Regression	8.703	4	2.176	13.724	.000
Residual	39.793	251	.159		
Total	48.496	255			

Table (3) indicates 0.037, 0.001 and 0.000 as significance responses from the participants which confirm that Teacher's payment, Teacher professional development and Democratic management is the school management strategies which contribute to students' academic performance. The coefficients of teacher professional development, democratic management, teacher's payment,

are positive and significant at 5% this implies that teacher professional development, democratic management, teachers' payment is the management strategies which influence students' academic performance. However, school infrastructure is also positive but not statistically significant, signifying a straight relationship between this variable and student academic performance.

Table 3: Management strategies towards academic performance

Model	Unstandardized Coefficients		Standardized Coefficients	t	Sig.
	B	Std. Error	Beta		
(Constant)	.935	.299		3.129	.002
Teachers' payment	.073	.035	.159	2.101	.037
School infrastructure	.020	.036	.041	.536	.592
Democratic management	.146	.045	.209	3.249	.001
Teacher professional development	-.209	.032	-.382	-6.441	.000

During the interview sessions, qualitative findings collected from respondents converge to the quantitative finding.

One of the teachers from school 3 had the following views to say:

"Motivation stands as the important aspect in enabling teachers and students to improve their performance. Motivation is one of the management strategies which enable teachers and students to raise interest and morale for work and learning. Thus, this situation makes them to enhance efforts to improve performance, and finally receive rewards provided after results" (Interviewed Teacher School 3).

This implies that factors which enhance students' academic performance is teachers' motivation since stands as the important aspects towards influence teachers in considering students matters. Similarly, the findings corresponding with the information provided with the head of school that;

"I have comprehended that teacher's professional development stand as the motivation factor which is a vital school management strategies in controlling teaching and learning activities without the need for

extreme efforts. When you motivate your teachers through professional development you will witness how they work conscientiously without the need for coercion. I have personally implemented this approach, and the majority of both teachers and students work very diligently, that has significantly contributed to the improvement of our overall students' performance" (Interviewed Head of School 5).

Effective supervision of management strategies towards to academic performance

The results from Table 4 show that F-value is 10.786 which shows a statistically significant at level .000, implying that null hypothesis should be rejected and accepting alternative hypothesis and it is plausible to conclude that there is strong evidence that effective supervision of school management strategies influence students' academic performance.

Table 4: ANOVA

Model	Sum of Squares	Df	Mean Square	F	Sig.
Regression	8.606	5	1.721	10.786	.000
Residual	39.891	250	.160		
Total	48.496	255			

The study result shows that effective implementation of decisions/governments' policies, effectively planning and motivating students have significance influence to the

students' academic performance. The results are proved by 0.002, 0.000 and 0.045 level of significance which is smaller than 0.05 (Table 5).

Table 5: Coefficients

Model	Unstandardized Coefficients		Standardized Coefficients	T	Sig.
	B	Std. Error	Beta		
(Constant)	1.535	.349		4.394	.000
plans school activities and guidelines	-.044	.022	-.138	-1.943	.053
Encourages participation	-.012	.037	-.030	-.319	.750
Consults students	-.050	.047	-.104	-1.072	.285
Motivates students	.093	.046	.133	2.011	.045
ensures plans are effectively	.149	.041	.273	3.665	.000
Effective implementation of governments' policies	.120	.039	.203	3.066	.002

Furthermore, the result from Table 6 shows that F-value is 6.893 showing statistically significant implying that it is implausible to find out that the factors built-in in the model do not clarify the variations obtained in students' academic performance. The coefficients of decision making, motivation and parent's involvement are significant at 5% which implies that motivation, decision making, and parents involvement increases students'

academic performance at .000, .002 and .046 level of significance respectively. However, government policy and infrastructure are also positive but not statistically significant, signifying a straight relationship between these variables and students' academic performance. Training shows negative coefficients and statistically not significant to indicate inverse relationship to the students' academic performance.

Table 6: Binary Logistic Regression Results

Variable name	Coefficients	Standard Error	T-Stat	P-value
Motivation	0.880	0.224	4.352	0.000
Government policy	0.024	0.086	1.607	0.109
Training	-0.034	-0.041	-0.771	0.441
Infrastructure	0.011	0.010	0.194	0.846
Decision making	0.021	0.165	3.176	0.002
Parents involvement	0.015	0.105	2.005	0.046
Constant	0.150		3.711	0.000

F-value 6.893

During the interview sessions, qualitative findings collected from respondents seem to support this view. One of the respondents from school A had the following views to say:

“Motivation is a critical aspect in improving performance since is one of the mechanisms that enable teachers and students to raise

interest and morale for work and learning. This strategy leads them to make efforts to improve performance in which can be motivated by the results and the rewards provided to them” (Interviewee, 2024).

striving for higher performance to attain the rewards. I have personally implemented this approach, and the majority of both teachers and students work very diligently” (Interviewee, 2024).

Another respondent also added,

“I realized that motivation is an energetic mechanism which can be applied by school management in controlling teaching and learning activities. When you motivate your teachers fairly, you will witness how they work diligently without the need for coercion. Similarly, when students are motivated, they become more competitive in their classes,

Students Perception on School Management in Ensuring Academic Performance

In measuring students’ perceptions on the subject matter, the study findings (table 7) show that F-value is 4.993 statistically significant at level .000 which allows the study to accept alternative hypothesis and rejecting null hypothesis and providing a room for further discussion and implying that it is reasonable to accomplish that there is strong evidence that students have good perceptions about school management strategies which influence their academic performance.

Table 7: ANOVA

Model	Sum of Squares	Df	Mean Square	F	Sig.
Regression	6.070	7	.867	4.993	.000
Residual	42.030	242	.174		
Total	48.100	249			

Table (8) indicates 0.002 and 0.000 as significance responses from the participants which confirm that Students are eager to continue with academic achievement and academic competence keeps increasing. However, teachers and parents’ satisfaction, academic achievement is better strategy, meeting the set average pass mark in exams and satisfied with achievement in annual examinations are also positive but not statistically significant, signifying a straight relationship between these

variables and student academic performance. Students are eager to continue with academic achievement and academic competence keeps increasing due to strongly school management strategies which are provided by school administration. Furthermore, achieving well in quizzes, tests and assignments shows negative coefficients and statistically not significant to indicate inverse relationship to the students’ academic performance.

Table 8: Coefficients

Model	Unstandardized Coefficients		Standardized Coefficients	T	Sig.
	B	Std. Error	Beta		
(Constant)	-.150	.445		-.337	.737
Satisfied with achievement in annual exams	.067	.060	.079	1.102	.272
Achieved well in quizzes, tests and assignments	-.018	.022	-.052	-.804	.422
I meet the set average pass mark in my exams	.048	.032	.098	1.504	.134
Academic competence keeps increasing	.514	.106	.303	4.862	.000
Academic achievement is better strategy	.027	.132	.016	.201	.841
Teachers and parents are satisfied	.097	.055	.156	1.784	.076
Students’ achievement	.376	.121	.190	3.096	.002

IV. DISCUSSION

This study shows that school management strategies stand as the backbone towards students' academic performance through enhancing teachers' professionalism.

The study is supported by Kemenanabo, (2019) who revealed that management factors like payment of staff, provision of physical facilities and staff motivation influence students' academic performance in senior secondary schools in a high extent. On other side machibya, (2017), found out that student poor academic performance in community secondary schools is influenced by school management factors including unequal distribution of school working staff, both teaching and non-teaching, poor planning, organising, and controlling by school management which led to poor supervision in teaching and learning activities. Furthermore, noted that poor academic performance of students in community secondary school is contributed by unavailability of quality sufficient teaching and non-teaching staff in schools. Lack of adequate subject based seminars/workshops and in-service-training to teachers, both long term and short term is another contributing factor, because some of them had stayed for long time without any seminar, washer, workshop or even short course in-service-training to make them up to date with the new technological developments.

In terms of teacher's professionalism development as the management strategy, the study is supported by Idd and Kiwonde (2022) who revealed that is vital for the teachers to be professional in their conduct, especially, while dealing with students. The main objective of the teachers is to enhance their teaching skills within their subject areas in such a manner that learning and development of the students can be improved. Professionalism of the teachers is depicted primarily in the teaching-learning processes, instructional strategies, communication and their approachable attitude. When the teachers depict professionalism in these areas, then they are revered not only by the principal, staff and other teachers, but they are also appreciated by the students and they take pleasure in learning from them. There have been cases in schools, when teachers get upset and angry (Ngore, Ondieki & Wagude, 2021). This is normally due to incompleteness of home-work assignments and deprived academic performance. In such cases, professionalism is depicted when teachers are decent in their communication. They should explain the consequences to the students in a calm manner and any kind of harsh behaviour should be avoided.

The study is in line with Idd and Kiwonde (2022) who revealed that motivating factors tend to influence teachers'

commitment to their teaching and learning processes, therefore promoting students' academic performance. Also, Johnson (2017) revealed that teachers can increase students' motivation to learn while students may have an innate desire to learn, the external support provided by the teacher has a significant impact on students' learning. The teacher's role in motivation includes, creating an environment conducive to learning. Teacher's roles in encouraging support of students' autonomy, relevance and relatedness of the material increases motivation to learn.

Furthermore the study is supported by Kalagbor, (2016) who revealed that effective supervision of school management strategies is possible if there is availability of school facilities and the extent they are put into use, friendly relationship between the teachers and students, prompt complaint to school teachers' welfare needs, including payment of salaries, parental support, principals' and teachers' good working relationships, teachers' supervision is prompt and effective, required professional and qualified teachers, effective utilization of lesson periods, teachers not engaging in deviant conducts and number of students in each classroom.

If the school management strategies are directed to help students to understand and being able to possess the abilities to differentiate between what is appropriate and what is inappropriate their academic performance will increase. In that case goal-oriented students usually possess positive feelings regarding their school experiences, they possess the traits of discipline, diligence, and resourcefulness, tend to devote less time towards recreation and leisure activities (World Bank, 2018). It is vital for the students to possess positive thinking in terms of their school's management, teachers and academic subjects. With positive perception, they will be able to dedicate themselves wholeheartedly towards learning and generate the desired academic outcomes.

The study is in line with Srinivas & Venkatkrishnan, (2016) who revealed that school management should understand the student's daily learning perception since in academic learning; some of the concepts are difficult to learn and understand in which students need support. When problems and difficulties are experienced by the students, then they need to obtain assistance from school management and teachers. When students are unable to achieve the desired grades, then instead of getting angry on them, the school management, teachers and parents need to make provisional help and assistance. They should motivate the students and encourage them to do well in future. Thus, school management need to understand student's weaknesses and help them.

V. CONCLUSION

The students' academic performance in any secondary school set up depends primarily on the proper orientation of school management strategies. The findings showed that when school promote good teachers' payment, teacher professional development, democratic decision-making system as management strategies leads to increase students' academic performance. It has been evidenced that when school management apply a strategy of paradigm shift system such as take necessary actions leave decisions to be made by teachers, solving problems in cooperation and not interfering good decisions creates a room for all stakeholders to take active part on matters concerning the students' academic performance prosperity. Furthermore, in terms of student's perception, if school management strategies focus on involving students in some matters concerning academic progress, becomes an approach which makes students regard decisions made for them is good for their performance but not night mare. So, the strategy made them to be an author of their academic destiny by being involved in implementation of school management strategies.

RECOMMENDATIONS

In terms of school administrative perspective school management revise the pedagogy system which ensures Motivates to both teachers and students, plans are effectively, governments' policies are maintained so as to pre-determine the positive output in the education system in terms of students' academic performance. While implementing planned management strategies, school management should consider that stakeholders have their own private interests and goals to pursue or defend, and as a result, need to be given effective structures and an enabling environment to follow such pursuits without hindrance as the result students' academic performance will be enhanced. Government policy makers should enhance the application of participatory ways in implementation of school management strategies in order to accelerate the implementation of different strategies concerning development and improvement of students' academic performance

REFERENCES

- [1] Amadi, M.A & Edu, D.I., (2020). Effective control system in the management of educational institution. *International Journal of Institutional Leadership, Policy and Management*. 2, 246-261.
- [2] Kothari, C.R., (2004). Research methodology: Methods and Techniques (2nd ed.). New Age International Publishers. pp. 223-224.

- [3] Eze Sunday, C & Inegbedion, H., (2015) "Key Factors Influencing Academic Performance of International Students in UK Universities: A Preliminary Investigation." *British Journal of Education*, 3(5): 55-68.
- [4] Islam, A & Tasnim, S., (2021), an Analysis of Factors Influencing Academic Performance of Undergraduate Students: A Case Study of Rabindra University, Bangladesh (RUB), *International Journal of Education*, 9 (3):127-135. DOI: <https://doi.org/10.34293/education.v9i3.373>.
- [5] Jacob, D.K & Thilagaraj, A., (2022), Transformational Leadership Theory – A Critical Analysis with reference to Banking Sector, *Webology*, 19(2): 152-159
- [6] Johnson, D., (2017). The Role of Teachers in Motivating Students to Learn, *BU Journal of Graduate Studies in Education*, 9(1): 46-49
- [7] Kalagbor. L.D., (2016). An Analysis of Factors Influencing Students' Academic Performance in Public and Private Secondary Schools in Rivers State-Nigeria, *Journal of Education and Practice*, 7(28): 96-101.
- [8] Kemenanabo, L.D.U., (2019), Perceived Influence of Some Management Factors on Students' Academic Performance in Public Senior Secondary Schools in Rivers State, *International Journal of Innovative Education Research*, 7(4):96-106.
- [9] Kemenanabo, L.D.U., (2019). Influence of selected management factors on academic performance of secondary school students in Rivers State. *International Journal of Innovative Education Research*, 7(4):39-49.
- [10] Mabula, J & Mkulu, D.G, (2022). The Role of School Management Team in Managing Students' Academic Performance in Community Secondary Schools in Tabora Municipality- Tanzania. *Journal of Humanities and Education Development (JHED)*, 4(1): 100-116. <https://dx.doi.org/10.22161/jhed.4.1.11>
- [11] Mortuza, A.M and Salim, Z.R., (2018). "Determinants of Academic Performance of Undergraduate Students in Private Universities in Bangladesh: A Case Study" *Global Journal of Human-Social Science*, 18 (11).
- [12] Nghonoli, S.M., (2017). School management factors affecting students' academic performance in community secondary schools: A case of selected schools in Ludewa District Council. Unpublished MA (Ed), Mzumbe University, Tanzania.
- [13] Ngore, B.O, Ondieki, S & Wagude, J., (2021), Effect of Worker Compensation on Learners' Academic Performance in the Adventist Church-Maintained Schools in Ranen Conference, Kenya, *International Journal of Recent Research in Commerce Economics and Management (IJRRCM)* 8(4): 103-109.
- [14] Omari, R & Kiwonde, F.M., (2022). Motivating Factors Influencing Public Primary School Teachers' Performance in Tanzania: A Case of Mbogwe District. *Journal of Research Innovation and Implications in Education*, 6(2): 352 – 359.
- [15] Srinivas, P & Venkatkrishnan, S., (2016). Factors Affecting Scholastic Performance in School Children. *IOSR Journal of Dental and Medical Sciences (IOSR-JDMS)*. 15(7): 47-53. DOI: 10.9790/0853-150714753

- [16] Turyatunga, M, Kaziro, N, Ariyo, G.K, Kobusingy,e P, Kamugisha, N & Friday, C., (2023). The Effect of Teacher's Motivation on Academic Performance of Students in Kole District a Case Study of Alito Sub-County, *International Journal of Academic Multidisciplinary Research (IJAMR)*, 7(2): 64-72.
- [17] The United Republic of Tanzania (URT), (2021). Ministry of Education, Science and Technology. National Strategy for Inclusive Education 2021/22-25/2026
- [18] World Bank, (2018). Realizing the promise of education for development emerging themes of World Development Report 2018. <https://thedocs.worldbank.org/en/doc>.

A Study into the Strained Love Relationships: The Issues of Caste and Gender in Arundhati Roy's *The God of Small Things*

Hena Biswas

Department of English, Jashore University of Science and Technology, Jashore, Bangladesh
biswas.just2015@gmail.com

Received: 19 Sep 2024; Received in revised form: 20 Oct 2024; Accepted: 26 Oct 2024
©2024 The Author(s). Published by TheShillonga. This is an open-access article under the CC BY license
(<https://creativecommons.org/licenses/by/4.0/>)

Abstract

The aim of this study is to unfold the factors influencing the strained love relationships with the effects of such relationships as reflected in The God of Small Things by Arundhati Roy. Every relationship depends on love, affection, respect, compromise, sacrifice, mutual understanding, needs and communication. Love is an intense feeling of deep affection by one for another. So, the idea of love or love relationship is not limited within conjugal relationship. The term "strained" indicates an atmosphere or situation or relationship which is not relaxed or comfortable. In this novel, the relationships between siblings, between parents and children, between the lovers, and the society and the individuals are somehow strained. Somehow the misconceptions of society, age old prejudices, discriminatory attitudes towards the children, deprivation of equal human rights, miscellaneous political practice, and social taboo are responsible for the distortion of relationships. Papachi, Mammachi, Chacko, Ammu, Estha, Rahel, Baby Kocchamma and Velutha suffer from strained relationships, especially love relationship. The long term effect of disordered relationship can be observed in the characters of Estha and Rahel. The Ipe family is broken for the chaotic connection among the family members. The study has used the theories of psychoanalysis, feminism, Marxism etcetera.

Keywords— Consequence, discrimination, familial bonding, love, relationship, social taboo

I. INTRODUCTION

Arundhati Roy is a renowned figure in contemporary south Asian literature in English. In her masterpiece, *The God of Small Things*, she criticizes the notions of gender, caste and human relationships among the citizens of Indian state, Kerala. The novel is set in a village namely Ayemenem. The inhabitants of the state are highly conservative towards each other because of their rigid love laws. They do not consider human values as the basis of developing any relationship. They are strict in their centuries old rules of dealing with the human beings distinct from one another. Such an effect of this social customs can be found vividly in the lives of the twin siblings in the novel namely Estha and Rahel. Their mental and physical growth is disrupted by the love laws of the society. The primary concern of this study is to analyze the love relationships which are strained in some ways among the characters with the causes and effects of these relationships.

In this novel, Roy deals with the traditional and historical aspects of Indian State of Kerela. She focuses on the societal injustices, miss-conceptions and oppressions like caste system or class distinction, gender discrimination, political humiliation, degradation of human relationship and so on. Arundhati Roy does not only present these societal diseases but also holds her pen against these. Ammu, Velutha, Estha, Rahel, Mamachi are the victims of the discriminating social system of caste, selection of gender and laws of love. Throughout the novel the novelist portrays how the society is infected with these centuries old inhuman customs. Estha and Rahel badly suffer from their childhood to their adulthood for these maltreatments of the society. Finding no support from the family or a trustworthy and safe society they reach a drastic level of relationship. All sorts of relationships suffered in this book. The characters undergo unaccomplished, ineffective, and hopeless relationships with their nearest one. There are theories to support the

ideas. This study develops through the well-known theories of Marxism, Feminism, and Psychoanalysis.

The principal objective of this discussion is to search out the most tempting factors behind the strained love relationships in Arundhati Roy's *The God of Small Things*. There are some variables that affect the relationships in this novel. The relationship between Mammachi and Pappachi is not normal because of Pappachi's careless nature and his rudeness to Mammachi. The relationship between Ammu and Chacko loses its affectionate attachment because of the discriminatory treatments between the female child and the male child by their parents. Besides, Ammu's disillusionment with her husband and irresponsible attitude of Baba are responsible to destroy their conjugal relationship. Ammu and Velutha's relationship cannot grow into maturity in the face of the social border based on caste. Again, Baby Kocchamma's attraction for the Irish priest fails for the religious boundary. Even the children-parents relationship between Vellya Paapen and Velutha seem vulnerable in the face of man-made sense of inferiority complex. Finally, all the issues influence the twins in such way that they feel incomplete and a kind of identity crisis without each other, which lead the most lovable relationship between Eastha and Rahel into the incestuous one.

Another focus of this study is to analyze the effects of the strained love relationships in this novel. Ammu suffers from the bondless relationship between her parents. She was tortured physically with her mother by her father. Chacko wants to grab the share or partnership of Ammu from their family possessions with the sense of gender consciousness. The breakdown of the conjugal relationship between Ammu and Baba wounds the callow minds of Estha and Rahel. Baby Kocchamma's unrequited love turns her into passionless, rude and lonely. Her rudeness affects the twins. And the lives of Ammu, Estha and Rahel have faced a tremendous change as the consequence of the relationship between Ammu and Velutha.

Roy obliquely indicates the possible solution to the problems regarding the distortion of relationships. The presentation of the issues of discriminations in this novel seeks for the appeals of humanity and the necessity of implementation of equal human rights as the most suited solution of such disorder of situation. If everyone tried to ensure the basic human rights equally for all, no discrimination would take place. Everyone should have the right to enjoy the identity of their own. As man is a rational being, every human being with their different genders, religions, castes or other categories should be treated rationally.

II. REVIEW OF LITERATURE

There have been a number of works on different aspects of Arundhati Roy's *The God of Small Things*. Some acknowledged ideas of the authors are explored below in the form of paraphrase.

Jersey Zheng in his article entitled "A Reading on *The God of Small Things and Wide Sargasso Sea* through the Hybridity Theory" discusses from Homi K. Bhaba's point of view that in

"*The God of Small Things*, the story's setting is in Ayemenem which is a small village in the southwestern Indian state of Kerela, as well as, a meeting-point between European and Indian cultures. Thus it displays the hybridity characteristic in the language, culture and regions". (p. 2)

Besides, Deepa K. and Dr. P. Nagarai comment in their article entitled "Stylistics Aspects of Arundhati Roy's *The God of Small Things*" that the novel is not written in a chronological order. The structure of the work is full of facts and reality faced by the characters. Arundhati Roy is a gifted Indian novelist in the art of writing. Roy is an author of varied taste.

In "Ramification of Infidelity in Arundhati Roy's *The God of Small Thing*", Nirmala Kumari V. and Dr. K.K. Sunalini describe,

"In the novel, the writer breaks the regular sequence of events and allows them to the sad fate of Ammu shared by her two eggs twins Rahel and Estha. The theme of doomed love between Ammu, the Syrian Christian, Velutha, the untouchable paravan is presented in post-modern form. It is frequently praised for its sensitivity to social injustice and its feminist politics, saying who is to be loved by whom, how much and how little less. Here, we can see how a woman's self-desires to cross the existing rules of the society." (p. 1)

Moreover, Kitipong Metharattanakorn narrates in "Discuss Roy's Presentation of History and Realities in *The God of Small Things*",

"Arundhati Roy's *The God of Small Things* is one of many representations of history revealing the inconsistency of history and presenting a new method to perceive it. The novel can be anything the individuals want to see or like it to be.

Small things might be the habitual situation of everyday life that people never notice. Likely, the death of Velutha is forgotten when time flies. No one notices it. "God" may be the social contexts like rules and orders of society that control and dominate people's lives. In short, death of Velutha is a micro thing that expands the macro scale of Indian social structure. Like Velutha, all individuals are small things that are controlled by big thing like God, fate, history, society, or whatever they want to define it." (p. 3)

Furthermore, in the essay entitled "Better to Have Love & Love Laws: A Psychic Rapprochement of Subjectivity & Symbolic Dispossession in *The God of Small Things*", the essayist speaks about the violent consequence of the gap between self and other.

III. DEFINITIONS OF THE KEY TERMS

3.1 Identity crisis

Identity crisis is the notion of loss that goes profound in colonial and postcolonial writings. The loss of a past, a culture, a customs is the catastrophe which marks the lives of the colonized people. It is equally the loss that hints the loss of individuality for the postcolonial people. When it is true that the fight for identity is widespread struggle, the postcolonial identity is undoubtedly a struggle with extenuating circumstances. The study of colonial and postcolonial writings innately encompasses with the reading of identity. Identity develops an overpowering emotive vigor in the person's lifespan that begins to drive every single action. Identity crisis is the quandary of emerging a rational individuality afterwards the colonial rule.

3.2 Alienation

Alienation suggests the condition or experience of being separated from a group to which one should belong. Alienation is typically a problematic separation from something. Social isolation can be defined as a form of individual torment deeply interwoven in the social organization.

3.3 Hybridity

Hybridity means the blending of cultures occurring at the intersection of colonizers and colonized. It is the most extensively engaged and disputed terms in post-colonial theory. It generally means to the formation of new transcultural forms.

3.4 Subalternism

Subalternism is a sub-set of postcolonial studies. "Subaltern" means dispossessed individual. In other words, subalterns are the indigenous or lower-caste people. Gayatri Chakravorty Spivak, in her "Can Subaltern Speak?" defines "subaltern" as those who fit to the third world countries. It is impossible for them to speak out as they are separated by sexual category, class, social group, region, religious conviction and other narratives. These dissections do not permit them to arise in union. Now it refers to the person belonging to the minor by means of various categories.

3.5 Love Relationship

Love denotes to the feeling of solid fascination and passionate connection. It is a risk which can cause a great pain or it can heal into a kind of habit which may not be remained love. It is a kind of unselfish, loyal and benevolent concern for the welfare of others. It indicates the compassionate and affectionate actions towards others. In its various forms, love performs as a key organizer of personal and social relationships. The forms and the ranges of love differ from person to person. For instance, the love of parents towards their children is different from the love form between the spouses. Both are the two forms of love. A sense of love can assure the deepness in every relationship. Love can make any bonding stronger both in the case of social and familial or of public and personal relationships. The forms of love are varied for the types of relationships. Both Greek and Modern philosophers identify several forms of love based on the nature of relationship such as familial love, platonic love, romantic love, love for the divine, unrecompensed love, infatuated love etcetera. The concept of love is related to the context of relationship.

IV. CONCEPTUAL FRAMEWORK

The study is partially related with the theories of, Marxism, feminism, psychoanalysis, colonialism, postcolonialism.

4.1 Psychoanalytic theory

The concept of psychoanalysis is interlinked with literature. It investigates the interaction of conscious and unconscious elements of human mind.

Sigmund Freud established psychoanalytic principles. Psychoanalysis aims at resolving the psychological problems known as disorder or dysfunction. It focuses on patterns of behavior. Psychoanalysis can help anyone in better understand of human behavior.

Freud's introduces the unconscious part of human mind beyond its conscious part. He unfolds its decisive role in human life. Unconsciousness indicates the idea of

repression. In other word, it is such conflict which remain unresolved. It can be an un-admitted wish, or nocuous past experiences. Freud works on the concept of dream. Dream is processed by real incidents.

If we look through the lens of psychoanalysis, we easily find individual with a psychological history which commences through the experiences of his childhood in the family and his adult behavior is the outcome of that childhood familial experience.

4.2 Marxism

The German philosopher, Karl Marx and the German sociologist, Friedrich Engels were the joint founders of this thought. Its intention is to bring an undivided society. According to this theory, economy is the motive behind all activities such as education, government, religion, science, philosophy, technology, media, the arts, and so on. Economy is the base of every superstructure. It describes most of the mortal deeds in relations of the circulation and underlying forces of financial power.

From Marxist perspectives, “socioeconomic factors divide people between those who control the world’s natural, economic and human resources and the proletariat, the majority of the world’s people who live in substandard conditions performing the manual labor”. Unluckily, those the proletariats are habitually the last to identify this circumstance. They typically allow dissimilarities in religious conviction, race, culture, or sexual category to discrete them into combatant blocs that undertake minute or not any communal alteration. Few Marxists trust that proletariats will one day instinctively improve the awareness required to rise up in ferocious rebellion against their tyrants and build an equal sphere.

For Marxism, an ideology exposes through the exercise and idea of class conflict. For example, capitalism, communalism, nationalism, religious belief, ethical systems, humanism, green politics and forecasting are all ideologies. Marxism is a non-suppressive viewpoint. Its mechanism is to mark us persistently conscious of the means by which we are products of factual/chronological surroundings and of the exploitive dogmas that assist to make us sightless to this fact in order to keep us submissive.

From a Marxist perspective, classicism, for instance, is a belief that connects one’s worth as a social being by means of the societal status to which one fits. As of classist point of view, persons at the top of the societal scale are certainly grander to the folks underneath them: those at the topmost are extra clever, additionally accountable, more reliable, extra virtuous, and so on. Persons at the lowermost of the collective scale, it follows, are indeed indolent, and unreliable. Therefore, it is accurate and ordinary that persons from the utmost societal class should grasp all the

sites of supremacy and management for the reason that they are certainly appropriate to such roles and are the only ones who can be trusted to execute them appropriately.

According to Karl Marx, Religion is “the opiate of the masses”. It is a system that aids to keep the faithful deprived pleased with their lives, or in any case accepting of it. The enquiry of God’s presence is not the vital concern for Marxist; rather, whatever human beings do in God’s name-structured religion – is the concentration. For instance, while various Christian religious clusters work to feed, clothe, household and even train the underprivileged, the pious tenets that are distributed along with the foodstuff and clothing encompass the belief that the deprived, if they retain on non-violent, will discover their prize in paradise.

4.3 Feminism

Feminism is a set of belief that defend women’s personal, economic, social and political rights. Recognizing patriarchy, violence against women, equal rights both of men and women are the primary concern of feminism. Traditional gender roles justify successfully the inequalities between man and woman. Women are generally excluded from the access of leading and the position of decision-maker. Even today, women earn lower wages than men in the similar job.

This novel indicates the parallel structure of domination between colonial history and the history of oppression in the state of Kerala. The afflictions of the women can be noticed only due to their biological identity as a female. Political humiliation is highly noticed in the male-treatment of the members of the Communist party with Velutha. The main events and the relationships are affected by the psychic instability of the characters.

V. THE CAUSES AND EFFECTS OF THE STRAINED LOVE RELATIONSHIPS IN *THE GOD OF SMALL THINGS*

The story of *The God of Small Things* rounds around the village namely Ayemenem in the State of Kerala in India. Ipe family lives in there. Papachi and Mamachi are the head of Ipe family. They are not happy in their conjugal life. Papachi beats Mamachi. Ammu and Chacko are their two children. Chacko goes to Oxford for higher study where he involves himself with Margaret. He does not keep regular contact with his family except when he feels the need of money. He marries Margaret. Their marriage does not work successfully. They have one child namely Sophie Mol. On the other hand, Ammu does not get the chance to go outside of Ayemenem for the purpose of higher study. There is no peace in between her parents. Ammu wants to get rid of her family. So, Ammu has married Baba hurriedly when she has

been introduced with Baba. Soon she has been disillusioned with her husband. Baba is an alcoholic. Once he has forced Ammu into sleeping with his boss. Where there is no self-respect, there is no love. That's why Ammu has left her husband and settled back in Ayemenem with her twins: Estha and Rahel. After divorce Ammu comes back to her Ayemenem house "unwelcomed" by her family. The society does not take back their married girls. Even the family members take the married girls who are rejected from their husbands as burden. Here, she develops an affair with an Untouchable handyman, Velutha. Velutha has a close relationship with Ipe family, particularly with Estha and Rahel. For this, Ammu has been banished from her own house. Baby Kochamma is the aunt of Ammu and Chacko; and the grandaunt of the twins. Baby Kochamma lives in their Ayemenem house as she is a spinster. Baby Kochamma possesses a vengeful and tactful personality. After inculcating Velutha of raping Ammu Baby Kochamma forces Estha to confirm it. After he is accused of raping and kidnapping the children, the police strikes Velutha almost to death. Both Ammu and Chacko's marriage didn't work successfully. In 1993, Rahel came to Ayemenem again from America to meet Estha. At the end of the novel, Roy indicates an incestuous physical intimacy between the siblings.

5.1 The Nature of Love Relationships in *The God of Small Things*

All the characters of the novel break the rules of love and the rules of the society. They all are infected with the laws regarding who should be loved and how should be loved and how much. Ammu and Velutha die because of their love relationship. Ammu has been banished for involving herself in an extra marital relationship with Velutha who belongs to the untouchable caste.

The twins also involve themselves in an unnatural physical interaction at the end of this novel. In some conventional way, one can look at it as incest but the way the novel describes, it seems really a sharing of an immense grief and an unimaginable sense of loss and isolation. They try to heal the wounds that both of them had in some terrible ways. Sometimes it does shock the people.

Again, Navomi Ipe is the sister of Papachi. She is called as Baby Kochamma. In her young age, she felt an attraction for a young Irish priest namely Father Mulligan. In order to be intimate with him, Baby Kochamma had converted had joined a monkery. Eventually she cognized that her determination did not bring her close to Mulligan whom she loved. Because of Kochamma's unreturned love for Father Mulligan, she stayed spinster becoming severely resentful over time.

And, the relationship between Ammu and Chacko is not appreciable. Ammu seems to be the competitor of Chacko. Chacko wants to win over the rights of Ammu as a family member. As he is the only son of his family and Ammu is the female child, Chacko thinks himself as the owner of all of properties of their family. He does seize the ownership of Paradise Pickles Factory and treats Ammu as a worker similar to others. Ammu becomes a part of the proletariat similar to the other factory workers in the eyes of his brother. Chacko does not become sympathetic to his sister. The narrator captures Chacko's annoyance, " 'Are they *my* responsible?' He said that Ammu and Estha and Rahel were millstones around his neck." (85) He does not think twice before banishing his sister from Ayemenem. Thus the bonding between these two siblings does not run normally.

Conjugal relationships are not comfortable. Love, respect, pleasure, mutual understanding, compromise, responsibility, care, sympathy etcetera are the common aspects in both social and familial relationship which are absent in the relationships between Ammu and Baba, Mammachi and Pappachi, and Chacko and Margaret.

5.2 The Factors behind Such Disordered Relationships with Their Effects

5.2.1 Discriminatory attitudes towards children

Ammu is always deprived of his necessary care and concern for her by her parents. Chacko gets whatever he wants. Both Ammu and Chacko are the siblings. Their parents treat them with different eyes. Ammu in all stages of her life is neglected by her family. As a child, she suffers from the unhappy relationship between her parents. In her childhood, her father used to beat Ammu due to his rage on her mother. Even, Mamachi shows discriminatory attitudes towards Ammu. She gives less priority to Ammu. Mammachi loves Chacko more because once he prevents Pappachi from beating her. Even being born in higher class family, Ammu tolerates the humiliation like an Untouchable. She with her twins endures such biased attitude, "Though Ammu, Estha and Rahel were allowed to attend the funeral, they were made to stand separately, not with rest of the family. Nobody would look at them."(5) That is why she feels losing the familial bonding.

She is punished for having an illicit relationship with Velutha. On the contrary, Chacko enjoys the advantages of the poor female workers of the factory. The sexual contemplations of Chacko and that of Ammu have not been justified in the same way by the family members. Chacko tries to take advantage of the poor female workers of Paradise Pickles Factory. He habitually feels pleasure to see them in their home. Regardless of reproving extramarital interaction of Ammu, it confirms a part in their house for Chacko. Mammachi has provided the access for Chacko's

mistresses in a separate part of the house so that Mammachi can overlook them while they come into the house. And, to veil this treacherous entertainment Mammachi's only explanation for compliant this behavior from Chacko is that she can simply approve the necessities of males who have a desire. The narrator describes,

“Mammachi nor Baby Kochamma saw any contradiction between Chacko's Marxist mind and feudal libido. They only worried about the Naxalites, who had been known to force men from Good Families to marry servant girls whom they had made pregnant.” (168)

Ammu is scolded by her own family members, where Chacko is forgiven by the family members for doing the same thing. The members of Ipe family do not consider Ammu's condition. Family members do not bother about Chacko's relationship with Margaret, even when he gets divorced from Margaret. No one of the family pays heed to this matter. But Ammu as a divorcee becomes an unwanted member of Ayemenem house.

The treatment to Sophie Mol and the treatment to the twins are different by the people of Ipe family. Even the twins are scolded by the servant of their house. One night Estha and Rahel were jumping on the bed and playing *Julius Caesar* in the room where Kochu Maria was sleeping on the floor. The humiliation and the maltreatment by Kochu Maria to the children can be seen with the voice of the narrator, “‘Tell your mother to take you to your father's house’, ... ‘There you can break as many beds as you like. These aren't your beds. This isn't *your* house.’” (83)

5.2.2 Deprivation of Human Rights

The God of Small Things is knitted around the contexture of human classification that has been going on for several centuries. Because of social classifications and hierarchy among the society, all the inhabitants of Ayemenem do not have the chance to enjoy all basic human rights. Some suffer for their lower social class based on monetary value, some for lower social caste, some for social customs and some for religious bindings. Every species has the right to live and live with respect. The novel embraces the poor exploited and socially disallowed folks of the Kerala society. They are eccentrics, outcastes, factory workforces and low-caste people. The female, the children, and the untouchable are the prisoners of the institutions of the society with meager degree of freedom.

In *The God of Small Things*, Roy portrays how human separate the mortal and become inhuman towards them in excuse of caste system, in Indian society, particularly in the state of Kerela. Despite constitutional watchwords, the democratic India is still ruled by four-class system which is

Brahmins, the revered priest caste; the Kshatriya associated with warfare; the Vaisya engaged in commerce and Sudra assigned for menial tasks and the ‘outcaste’ or the ‘untouchable’ exist at the lower section of the Sudra group. Roy draws the pictures of those ‘untouchable’ of the society who are known as ‘Paravan’ in this novel.

Besides, the constitution of India abolished the ‘untouchability’ and its practice in any form but ironically the system still continues in some parts of India due to the deep-rooted prejudice of some people well placed in society and their fear of losing their supremacy. The values and customs of different religions have been merged with one another. In such way, the lower caste untouchable followers of Hindu religion have also been treated with the same standard by the Syrian Christian even after becoming the convert to Christianity. In the words of the narrator,

“When the British came to Malabar, a number of Paravans, Pelayas and Pulayas's (among them Velutha's grandfather, Kelen) converted to Christianity and joined the Anglican Church to escape the scourage of Untouchability.” (74)

Though the poor untouchables become Christians to get rid of the social hatred, they are marginalized and subordinated. There are three characters namely Kuttapen and Velutha; and their father Vellya Pappen, belong to the category of untouchable. They represent the ‘dalits’ in this novel. Throughout the novel we find that the services of these Paravans are entertained in every short of necessity by the Ipe family or by the society, though the Paravans are not allowed to enter into the house of the touchable. “Mammachi didn't encourage him to enter the house (except when she needed something mended or installed).” (77) The Paravans were not permitted to tread on the common streets, likely to the crawl towards the back with a sweeper, sweeping away their footmarks so that the higher castes would not pollute themselves by treading into Paravan's footprints. The Paravans were not permitted to unmask their mouths when they talked, to distract their vile inhalation away from persons whom they spoken. Even in the novel, the people of that society don't think of a common school for all children from all castes. “Mamachi persuaded Velutha Pappen to send him to the ‘Untouchables’ School that her father-in-law, Punnyan Kunju, had founded.” (74)

Moreover, the author draws an inhuman outcome of the injustice in the name of caste through Velutha's character. In all walks of life, he suffers stock scorn and segregation of the upper caste people. The society regards him as inferior. His skills go unevaluated. He is an unparalleled as

a carpenter, as a mechanic and also as an engineer. Velutha used to make little wooden toys for Ammu and as untouchable, he had placed them in her outstretched hand without any touch. He is more conscious about his duty to the working class than his caste, though the workers of Paradise Pickles belong to the 'touchable' sniff at Velutha. According to them Paravans cannot be carpenters. This Paravan boy disregarded social rules in favor of love. For this he had to pay very dearly. Though everyone knew that Sophie Mol's death was an accident, he was falsely implicated. Even Velutha was referred to as 'Dr. Velutha' by Kochamma when her garden cherub's silver was fixed by him, didn't think twice before making such cruel plan against him. He was a committed worker of the Communist Party but when he was arrested, the Marxist Party never stood beside him. The police feel little remorse for brutally beating him to death, because he was an 'untouchable'. Papacchi beats Mammachi in his bad mood. Mammachi cannot enjoy the equal human rights. She has no power to offer her own opinion, though she is financially independent. She has no freedom of choice. Papacchi does not pay respect to Mamachi as his better-half. If he considered his wife as a human being similar to himself and treated her with respect, they might be happy in their conjugal life. Wives or girls do not get the opportunity of equal human rights to the husbands or boys. Similarly, she had no right to protect her dignity. It seems that the dignities of the wives are the possession of the husbands achieved through the formal institutions like marriage. If the people of the society did not make border between the inhabitants, no class-based victimization would happen.

5.2.3 Psychological alienation

Several painful separation can be found in this novel. The term psychology looks through the human mind and behavior. It interprets all facets of human experience. Man is a physical and psychological combination. Psychology is an indissoluble object one's personality. We can see the physical attack but the mental wounds are invisible to us. Each humiliation affects us psychologically. Thus anyone suffers from psychological problems. The external variant like society, caste, community, creed, and culture always control person's psychological arena. A set of biased social belief have taken away the sense of home for Ammu, Rahel and Estha. Their house becomes a prison for them.

Detachment of one causes attraction to another. Similarly, Ammu is detached of her family members, there grows an appeal in her mind for Velutha. The psychology of the children is the most affected figure in this novel. Estha and Rahel grow facing the worst criticism from the society owing to their mother. They become demoralized with the

scorn pouring on them. Roy presents the traumatic experiences of past of the characters through flashback. None can understand the children properly. Children's psychology largely depends on the psychological state of the parents, especially the mother. For instance, the novel points out how the twins feel after sexual humiliation of Ammu in front of the twins by the police officer at the police station, "Her face was set like stone, but the tears welled up in her eyes and ran down her rigid cheeks. It made the twins sick with fear." (8)

The novel shows how small issues like behaviour can affect our life. Their continuous separation from the family members particularly from their parents disrupts the natural growth of Estha and Rahel. They suffer from lack of parental love, disturbed infancy. Ammu was made to send Estha back to their father. His transfer from one place to another makes an identity crisis for Estha. In the words of the story teller, "And now, twenty-three years later, their father had re-Returned Estha. He had sent him back to Ayemenem with a suitcase and a letter." (9) Moreover, such frequent separation from a near one can make Estha lonely. That is why he becomes quite. He was in trauma from his very childhood which made him dumb. As if he withdraws himself from this world. "Slowly, over the years, Estha withdrew from the world. He grew accustomed to the uneasy octopus that lived inside him and squirmed its inky tranquillizer on his past." (12)

This isolation commonly demonstrates in immoral bonds and actions. Isolation from their identities leads to a desperate quest for their individuality. Estha and Rahel are stooped to one another because they can express their pain and oppression. They consider themselves as a single entity. They have found themselves alienated. They have no one except each other. It seems that they carry the same soul in two bodies. Both social and familial negligence make them to perceive in such way. As the narrator unfolds,

"In those early amorphous years when memory had only just begun, when life was full of Beginnings and no Ends, and Everything was For Ever, Esthappen and Rahel thought of themselves together as Me, and separately, individually, as We or Us. As though they were a rare breed of Siamese twins, physically separate, but with joint identities." (2)

5.2.4 Social taboo

The patriarchal hegemony, discriminatory glance and suppression can be found in the name of values. Extra-marital relationship for a woman is thought as a social taboo in the patriarchal society. According to them, a married

woman should not come back forever from her husband's house. They should try to adjust with their husbands. In this novel, despite being born in a higher class family, Ammu is humiliated by the family members and the society for her extra-marital relationship like the untouchable or the proletariat. After the death her dead body is rejected by the Church for her groundbreaking action towards the social taboo. "The Church refused to bury Ammu. On several counts. So, Chacko hired a van to transport the body to the electric crematorium". (162)

Velutha disrespects the biased society by transgressing its various boundaries. By making an extra marital relationship with Ammu, the offspring of a touchable family, he violates their traditional social rules. This so-called untouchable does not behave like an untouchable which he is supposed to do. "They were made to have separate churches, with separate services, and separate Pariah Bishop." (74) Even, his own father worries about his stepping out of bounds. At one stage, the relationship between Velutha and his father becomes unusual when his father offers Mammachi to kill Velutha. "He offered to kill his son with his own bare hands." (78) As everyone knows that subaltern, cannot move higher toward the social hierarchy. They don't make their voice hark.

Again, the inhabitants follow the laws of love about who should be loved and how should be loved or how much. Everyone should keep his or her class, caste, religion, in mind when one wants to love someone. But both the little Estha and Rahel are very close to Velutha. They have a kind of friendship among them. Finally, the conscious intimacy between the siblings is the threat to the social set up. When there is no barrier of caste, religion, class and the twins feel them the single being, there is no problem to love. So, according to the rules of the society, they can love each other. The so-called love laws of the society should not have any problem with sexual or physical intercourse between the siblings.

5.2.5 Blemishing Political Situation

The defected political groups like Communist political party can be noticed as the responsible issue for the social disorder in this novel in some way. K. N. M. Pillai does not take the responsibility of the other members of the party. He is one of the leaders of Communist Party of Ayemenem. He speaks for the betterment and the rights of all the deprived, poor, lower caste inhabitants of that area. On the contrary, his activities or actions are not supportive always to the deprived and not against the suppression, oppression or the deprivation. K. Comrade K. N. M. Pillai engages himself more for his own benefits than that of the other members of their Party. In expression of the narrator of *The God of Small Things*,

"Comrade Pillai told Inspector Thomas Mathew that he was acquainted with Velutha, but omitted to mention that Velutha was a member of the Communist Party, or that Velutha had knocked on his door late the previous night, which made Comrade Pillai the last person to have seen Velutha before he disappeared." (262)

Again, Inspector Thomas Mathew does not try to investigate the case of Velutha who is a committed member of Communist Party and a true victim of the class based society of the bourgeois. He does not act like a true Congress man. Even, he proves the biased nature of Communism in Ayemenem. The narrator of the novel highlights the irresponsible nature of the police,

"It was crucial for him to know whether the Paravan had any political support or whether he was operating alone. Though he himself was a Congress man, he did not intend to risk any run-ins with the Marxist Government." (262)

VI. CONCLUSION

Arundhati Roy is known world-wide for her successful writings like *The God of Small Things*. It is not about a single issue. The Novel is not only about the small things rather it is about the connection from the small things to the biggest things. It reflects how the strained relationships affect the individuals to the society and how the discriminatory issues of caste and gender stir up both social and familial relationships. She does not only depict the social set up of miss-judgment regarding relationships, gender and caste-system but also resist frequently against these. As a Paravan, the representation of Velutha with divine qualities, the relationship or intimacy between Ammu and Velutha; finally the drastic intimacy between the siblings are nothing but the slap on the face of the inhuman social customs. In *The God of Small Things*, Arundhati Roy shows how love and human relationships are meaningless and helpless in the face of the cruel, unsocial and inhuman norms of the society. The presentation of mistreatments regarding the caste and gender throughout the novel is pathetic and raises questions about humanity. Through the story of discriminations regarding caste and gender Roy shows the psychological damage and destructions of human relationships. The caste system is the system of man-made stratification into the society. It presents the repression of the people who are lower in caste-system. Roy's presentations of caste system, the treatment towards the

Paravans, their responses and the ultimate circumstance raise a sense of affliction and accuse humanity.

Both the love and liberty are suppressed because of the society biased of caste and gender issues. Caste-consciousness is so pervasive in Indian society that the so-called 'pure' and the 'high' try all sorts of tactics to show off their superiority as the people with the Ipe family successfully ruin the life of Velutha in this novel. Ammu and Velutha, the male and the female protagonists of the novel are the nastiest sufferers of gender role and caste discriminations. The customary faith of women and the caste construction of culture are organized by the great priests of a bourgeoisie class who wish to preserve the social order in its discipline. They have to make love in accordance to the laws set by the society. The emotions, feelings and expressions are restricted by their customs. The most terrible thing is that a man cannot touch other human being only because of the caste attributed on him. Again, all of such social routine regarding caste, class, familial and social relationship, and love laws are different for women. The life of a woman is considered a public affair. The rules and customs are imposed forcefully on the female. In order to do justice to the age old social regulations, the society confidently performs injustice to the female inhabitants of that society. The characters of Ammu, Mammachi, Baby Kocchamma, the female workers of Paradise Pickles Factory are the victims of such discrimination. How much the women synthesize the age old discriminations that they even cannot understand the mal-treatment and diminish of basic rights as a human being all the time.

The God of Small Things is a fabulous novel of Arundhati Roy. The complications of South Asian identities and affiliation are at the temperament of this novel. Characters such as Ammu, Veluth, Rahel and Estha are a kind of rootless in their social settings. They seek both for love and identity. That is why they habitually select to go out of the orthodox of social life. No character finds fulfillment of any sort. The assurance of equal human rights for all, humanity and love may alleviate such social and psychological iniquities.

REFERENCES

- [1] Alienation (Stanford Encyclopedia of Philosophy). (2018). Accessed on 23.08.19. Retrieved from <https://plato.stanford.edu/entries/alienation/>
- [2] Al-Quaderi, Gaus Golam & Islam, Muhammad Saiful. "Complicity and resistance: Women in Arundhati Roy's *The God of Small Things*". Journal of Postcolonial Cultures and Societies, vol (2), 2011.
- [3] Ashcroft, Bill and et al. "The Postcolonial Studies Reader", (USA: Routledge, 1995). P.117
- [4] Barry, Peter. *Beginning Theory*. Manchester: University of Manchester, 2010.Print.
- [5] "Better to Have Love & Have Laws: A Psychic Rapprochement of Subjectivity & Symbolic Dispossession in The God of Small Things". Retrieved from https://www.academia.edu/1216914/BETTER_TO_HAVE_LOVE
- [6] B. Winmayil. "The Emotional Abusing and being Abused in Roy's *The God of Small Things*". The Criterion: An International Journal in English.
- [7] Dizayi, Saman Abdulqadir. "Locating Identity Crisis in Postcolonial Theory: Fanon and Said". Journal of Advanced Research in Social Sciences. (ND).
- [8] E. Taylor, Victor and E. Winquist, Charles. *The Postcolonial Studies: Critical Concepts*. USA, Taylor & Francis Group, 1998. P. 640
- [9] Ford, Derek. "What is an ideology? An Introduction to the Marxist Theory of Ideology". 2021. <https://www.liberationschool.org/what-is-ideology/#:~:text=All%20ideology%20has%20a%20class%20basis%2C%20and%20Marxist,order%20to%20understand%20and%20overthrow%20>
- [10] Jheng, Jersey. "A Reading on *The God of Small Things* and *The Wide Sargasso Sea* Through the Hybridity Theory." (ND).
- [11] K., Deepa & Dr. Nagarai, P. *Stylistics Aspects of Arundhati Roy's The God of Small Things*. 2014.
- [12] Kumar, Dr. Karthik & Ithaya, L. Venthen. "Glimpses of Psychological Scandal in *The God of Small Things*".
- [13] Love-Wikipedia. Retrieved from <file:///J:/For%20Studies/1st%20semester%20of%20MA/THESIS%20MA/Love%20-%20Wikipedia.html>
- [14] Mandal, Mohosin. "Dismantling Caste and Gender Hierarchy: Female-Dalit Alliance in Arundhati Roy's *The God of Small Things* and Meena Kandasami's *The Gypsy Goddess*", (2023).
- [15] Marxist literary criticism- Wikipedia. Retrieved from <file:///J:/For%20Studies/4th%20year%202nd%20semester/Eng%20204209-%2020th%20Century%20Literary%20and%20Critical%20Theory/Marxist%20literary%20criticism%20-%20Wikipedia.htm>
- [16] Metharattanakorn, Kitipong. "Discuss Roy's Presentation of histories and realities in *The God of Small Things*".
- [17] Nazari, Fahimeh & Pirnajmuddin, Hossein. "Revisiting the colonial Legacy in Arundhati Roy's *The God of Small Things*". Journal of Educational and Social Research, vol 3(1), 2013.
- [18] Ojha, Jyotirmayee. "A Gender and Caste Conflict in Own Country: A Perspective on *The God of Small Things*". IJHRMR 8.6 (2018): 121-130. Print.
- [19] Roy, Arundhati. *The God of Small Things*. India: Penguin Books India, 1997. Print
- [20] Roy, Arundhati. "Arundhati Roy talks to Nicola Sturgeon at the Edinburgh International Book Festival". Interview by Nicola Sturgeon. You tube, Aug 28, 2019.

- <https://www.youtube.com/watch?v=-hmPcp3swFY&t=113s>
- [21] Roy, Arundhati. "Arundhati Roy at home and work: activist, writer and filmmaker on *The God of Small Things*". Youtube, Jan 10, 2018, <https://www.youtube.com/watch?v=57560OKZBiY&t=5s>
- [22] Roy, Arundhati. "Arundhati Roy discusses *The God of Small Things* on Book Club". Youtube, Oct 04, 2011. <https://www.youtube.com/watch?v=vAADOKn5Hg&t=8s>
- [23] Said, Edward W. *Culture and Imperialism*. New York. Vintage Books. 1993.
- [24] Sonia, M.A. "Social Consciousness in Arundhati Roy's *The God of Small Things*". 2013.
- [25] *Study Guide South Asian and African Literature*. Accessed on 26.12.19. Retrieved from <https://sylhetstore.com/product/study-guide-south-asian-and-african-literature-ma/>
- [26] *Subaltern Studies-Wikipedia*. Accessed on 11.01.2020. Retrieved from <file:///C:/Users/NPC/Downloads/Subaltern%20Studies%20-%20Wikipedia.html>
- [27] *The God of Small Things- Wikipedia*. Retrieved from <file:///J:/For%20Studies/1st%20semester%20of%20MA/Eng%205107-Contemporary%20South%20Asian%20Literature/The%20God%20of%20Small%20Things%20-%20Wikipedia.html>
- [28] Tyson, Lois. *Critical Theory Today*. United States of America, 2006. Print.
- [29] V., Nirmala Kumari & Dr. Sunalini, K. K. "Ramification of Infidelity in Arundhati Roy's *The God of Small Things*". *English Studies International Research Journal*, vol. III, (2015),
- [30] "What does relationship mean? - Definitions.net". Accessed on 01.12.19. Retrieved from <https://www.definitions.net/definition/relationship>