National Social Science Association Proceedings
Denver Summer Seminar 2016

Volume 62 #1
Denver, Colorado
July 31-August 3, 2016
Table of Contents

Increasing Effectiveness On-Line: Student-Instructor Interaction
Kimberly Bonfiglio, Ann O’Bryan, Patricia Palavecino, Holli Willibey
College of the Canyons

Sexual Perceptions and Behaviors of Young Adults at an Urban HBCU
Dominique Broussard, Grace Loudd, Texas Southern University

Apple v. FBI: Privacy vs. Security?
Georgia Holmes, Sue Burum, Minnesota State University, Mankato

Meishan Middle School: Management Evaluation
Yusong Chen, Central Washington University

Calculating Human Survival: The Role of the Social Sciences in Developing Effective Climate Action
Robert M. Christie, California State University, Dominguez Hills

Connecting Process and Structure for Student Centered Distance Learning
Glenn H. Dakin, American Intercontinental University

Demand Revelation Theory and Transportation Infrastructure Development in China
Wenjie Du, Central Washington University

The Immigration Backlash in the United States
Bruce A. Forster, The University of Nebraska at Kearney

A Feasible Study of the Carrefour Direct Purchase Model for Fresh Produce in the Liuzhou Area
Jing Huang, Central Washington University

It’s a Lego Life: The Building Blocks of Aging
Patricia M. Kirtley, Independent Scholar
William M. Kirtley, Central Texas College

China in Africa: A Global Economic Shift
Xiaofei Li, York College of Pennsylvania
Increasing Effectiveness On-Line: Student-Instructor Interaction

Kimberly Bonfiglio
Ann O’Bryan
Patricia Palavecino
Holli Willibey

College of the Canyons
Santa Clarita, CA
I. Introduction

Online learning has gained popularity with adult learners because it works for people who are unable to attend traditional on-site classes due to long geographical distance or have busy lives, among other reasons. The growing e-learning trend brings associated benefits to academic institutions. They promote online learning because it is cost effective, maximizes resources, increases enrollment, and enhances revenue (De Gagne & Walters, 2009; Schiffman et al., 2007).

More students in distance education should result in more graduates. However, the Student Equity Summit in 2014 reported that student success rates are lower in distance learning than in face to face classes showing a difference of more than 10% in success rate between those groups. Also, it has been found that Caucasian students perform better than students from underrepresented groups (Afro-Americans and Latinos/Hispanic). Hadsell (2011), in his analysis of Regular Effective Contact Requirements for Online Learning at California Community Colleges, has expressed that while distance education continues to grow and thrive at many institutions, there is still concern within the higher education community about certain issues tied to online learning. He also mentioned that the collection and analysis of data related to student success will play a fundamental role in driving both academic and legislative agendas concerning distance education in the future.

In 2008, The California Community College Chancellor’s Office published Distance Education Guidelines which provides overall guidance and assistance to understand the rules which apply to the design, approval, conduct, and reporting of distance education within California Community Colleges. For Instance, Title 5, Section 55200 refers to Definition & Application of distance learning and Section 55202 applies to Course Quality Standards. Additionally, there is a course design rubric for the Online Education Initiative that provides guidelines for faculty members to review and perform self-evaluation as a component of the OEI Course Application process. This rubric consists of four elements: Course Design, Interaction and Collaboration, Assessment, and Learner Support and was designed to inform the work of reviewers for courses being taught in connection with the California Community College Online Education Initiative.

As Meyer (2014) expressed in her work about what works and why in student engagement online, pressures are growing on institutions to enroll and graduate more students, so higher education leaders and instructors are looking for ways to improve student retention and graduation rates.

During summer 2015, a faculty inquiry group at College of the Canyons (Trautman et al., 2015) produced a report with the primary purpose to evaluate existing research about online learning and make recommendations on what instructors can do to improve student success in online/hybrid classes at COC. This inquiry group created a list of eight general recommendations. One of these recommendations was to create and maintain robust instructor-student interaction. The team found that instructor interaction in online classes suffered from a lack of timeliness, rigor, relevance and engagement. Among other ideas on this particular topic, FIG 2015 suggested that
faculty should be relentlessly upbeat; provide encouragement, emotional support, and timely and substantive feedback.

There is a remarkable amount of literature that addresses the relevance of student-instructor interaction in online classes. The primary purpose of the present work is to analyze existing research to create a list of recommendations about best practices for instructors to increase the effectiveness of student-instructor communication and interaction in online classes. This document summarizes available research on the subject of effective instructor-student contact and presents information regarding existing rubrics with the intent of making informed suggestions to online instructors at College of the Canyons ultimately leading to higher retention rates within on-line courses.

II. Findings

1. Brief Summary of Faculty Recommendations

At the core of federal and state regulations regarding distance learning is the central idea that students should have regular and effective contact with their instructors. Not only does substantive faculty-student interaction enhance student learning, it also enhances overall student satisfaction which is highly correlated with student retention (Johnson et al., 2014). However, how this is defined often varies from institution to institution and from instructor to instructor. Based on a review of the literature, substantive faculty-student interaction, defined as interactions that promote student satisfaction and enhance learning, can be broken into three broad categories. In order to promote regular and effective contact, we recommend that instructors:

- Adopt a teaching style and approach that facilitates relationship building
- Engage in purposeful and effective communication with students that is valued by students
- Design their course in a manner that smooths the way for both faculty and student to interact meaningfully

2. Highlights from the Research

Section A - Style and Approach

Creating a warm and friendly online classroom environment is critical to student success and satisfaction. This can be accomplished in several ways, ranging from communication style to instructor availability and adaptability (De Gagne & Walters, 2009; Freedman et al. 2003; Lee & Rha, 2009).

Warmth

Researchers point out several deficiencies in instructor-student communication during online education; style and approach being one. The barriers are seen as a concern
because students who are not able to overcome them are less likely to succeed in the course. As expressed in, “Strategies for Improving Instructor-Student Communication in Online Education. Virtual education: Cases in learning and teaching technologies,” Freedman, et al. (2003) have designed strategies for instructors to implement in their online classes, thus improving instructor-student communication.

Building upon the ideas expressed in Freedman, et al.’s (2003) research, including the following elements in online courses will have a positive effect on learning outcomes. Warmth: Create an atmosphere of warmth in the online classroom by following the techniques described, in detail, below. Likewise, Dennen, Durabi and Smith suggest that students often want “upfront” information about course expectations and requirements (2007). Greeting students before the class begins by sending an email that introduces yourself, and the course is one way to meet this need. Use common language to mimic face-to-face lectures and communications (Lee & Rha, 2009). Share personal news with the class to create a more personalized environment (De Gagne & Walters, 2009). Students have a strong desire for instructor support (Dennen et al, 2007). Therefore it is important to be encouraging when students do well, and also when they struggle. Announce campus-related events of interest to the course objectives, and personal interest.

Examples of “warm” communication:

- Introductory email could include personal information about yourself and what you did over the break, your hobbies, or the latest books you have read.

- Using common language such as contractions, common expressions, using the active voice, incomplete sentences, friendly terms, and boldface and colored text (Freedman et al, 2003; Lee & Rha, 2009).

- Sharing personal news, individually or to the class. Perhaps you took a weekend trip to San Diego. You could share that in an announcement, to the class, so they know you will be unavailable. When you return, you could post random pictures, or share museums and landmarks you may have visited that relate to the course.

- Be encouraging when students do well on an exam or assignment. It may not be obvious to them that they are doing well – telling them this can motivate them to try even harder, or keep up the good work. Also, encourage poorly-performing students. They may need the encouragement the most. When they don’t do well on an assignment, point out their strengths and offer practical solutions to overcome their weaknesses.

- Announcing of campus-related events that supplement the course objectives (and possibly offer extra credit for attendance). Announce other activities geared toward specific groups such as, veterans, parents, kids, environmentalists, engineers, etc.
**Instructor Availability**

It is important to be available to offer help to students who are struggling. Provide them with links to tutorials, give them clear directions, scaffold learning, don’t assume all students know what to do in an online class, and reach out to students who have not approached you for help, but should.

**Examples:**

- Provide links to tutorials from how to use Canvas to how to engage with the course material. TED Talks are a good resource to give students another perspective on a concept that they may be having trouble grasping. They don’t always know how or where to find the best talk; by providing them with the link, students won’t feel frustrated when they can’t locate the material outside of the textbook.

- Give students clear directions for completing assignments. Sometimes, you will have to restate a single point in a couple different ways as each student learns in a different way. When they ask for further clarification, be kind and cordial, and try to explain it another way. Offer to Skype or instant message if they are still not clear on the assignment instructions.

- Scaffold learning by breaking a large assignment into smaller, more manageable steps so the students don’t feel overwhelmed.

- Don’t assume all students know how to be successful online students (Mupinga et al, 2006). Many students take online courses after being out of school for some time, they usually have full-time work schedules and families, and they may not have strong computer literacy. These students are probably already feeling like they are juggling a lot so take care to ensure they don’t feel like they are inadequate simply because they don’t know how to succeed in an area that they have not previously experienced.

- Reach out to students who you can tell are struggling, but haven’t contacted you. Be compassionate in the correspondence and let them know that you are there to help. Often, these students jump at the chance to share their personal struggles with the instructor, who can often help them problem-solve.

**Assessing Students and Offering Help**

According to Freedman et al. (2003), including the following elements in online courses will have a positive effect on learning outcomes:

- Providing students with opportunities to meet with you during office hours and state consistent, scheduled office hours on your syllabus.

- Agree to schedule chats with students outside of those office hours. Some students prefer to chat in real-time or meet face-to-face to receive feedback or clarity. If possible, meet a student at a coffee shop near you. For the others, you
might schedule meetings via Skype, IM, chats, or on a wiki. Ensure that you maintain a warm and cordial tone during appointments with students.

Section B - Communicating with Purpose

Overwhelmingly reinforced throughout the literature was the fact that students want meaningful communication from, and interaction with, their instructor. In fact, as compared to learner-learner interaction and learner-interface interaction, learner-instructor interaction is most strongly correlated to perceived learning (Grandzol & Grandzol, 2010). In a review of the literature, Johnson et al. (2014) note that “student-to-professor interaction is a key predictor to positive experiences and outcomes” (p. 230). However, simply posting an open-ended question in a discussion board and asking for responses was not enough for most students. Likewise, students not only wanted a warm, friendly and approachable instructor, they also want purposeful communication designed to facilitate learning of content, mastery of skill or other indications that an instructor is evaluating their work. Unfortunately, Southard and Mooney (2015) found that while most faculty respondents spend 4-6 or 7-9 hours per week on online class preparation, 70% of the same respondents reported that they only spend 1-3 hours in the delivery portion of their courses. The section below will address some areas of faculty-initiated communication that were most valuable from the student’s point of view.

Feedback

Students value personalized and substantive feedback about their graded work (Dennen et al., 2007). Feedback that is individualized shows the student that the instructor has evaluated their work (RIT, 2014). Students want to know specific things that they are doing well. If they did a “good job” they wish to know what, exactly, they did well. Likewise, students prefer to have their mistakes acknowledged and to receive constructive criticism that is worded in a manner to help them learn from their mistakes. A lack of comments within the gradebook and on written work leads to frustration. Students are left to wonder what to do to improve their performance and ultimately their grade. Johnson et al. (2014), noted that those who seek on-line classes are often more concerned with the course outcome, their grade, than the process to achieve it. When feedback is missing, they may not feel that the instructor is invested in helping them learn how to better perform.

Finally, students highly value timely feedback (Dennen et al., 2007; Mupinga et al., 2006; Northrup, 2002). In this regard, it is important to acclimate students to the fact that some feedback is more immediate than others. Efforts to evaluate performance and grade submitted work should be consistent and when this is not possible, it is recommended that students be notified as soon as possible (Freedman et al., 2003).

That said, it has been found that “efforts to include extensive faculty feedback and interaction in on-line courses may actually be counterproductive” (Grandzol & Grandzol, 2010, p.10). Not all students are looking for interaction at high levels to include a response to every discussion board posting. From a student’s point of view, timeliness
of feedback and return of email inquiries is ranked far more importantly than the extent of feedback. More is not always better (Dennen et al., 2007; Lee & Rha, 2009). According to Northrup (2002), students in her study reported that it was unnecessary for instructors to provide daily feedback. But, it was recommended that instructors “make every attempt to provide some kind of feedback to them at least two time per week” (p. 233)

**Recommendations:**

- Make feedback as specific as possible and provide substantive comments. Use first names.
- Create a rubric for each assignment and use it when grading to offer specific feedback re: where points are missed.
- Save time by creating a list of common feedback given for assignments so that such comments can be cut and pasted into the gradebook.
- Reach out to students at least two times per a week, either in the discussion board, announcements or gradebook to provide feedback about on-line contributions on assignments and the discussion board.
- Notify students when absence or illness will prevent timely grading/feedback.

**Valued Communication**

It goes without saying that instructors are highly encouraged to respond to ALL questions and e-mails from students in a timely manner. This is substantiated in countless studies (Dennen et al., 2007; Freedman et al., 2003; Mupinga et al., 2006). Timely response to inquiries and answering of questions helps to address problems, clarify questions and promotes a sense that the instructor is invested in student success. To this end, there are many additional forms of communication that are highly valued by students that communicate that the on-line instructor is present, moderating or facilitating learning and actively monitoring the progress of the class.

Instead of simply being assigned discussion boards whereby students may or may not be answering the prompts accurately, students may benefit highly from instructor efforts to clarify difficult-to-understand material (RIT, 2014), offer remediation on muddy topics and otherwise address issues/problems noted within discussion boards. This can be done within the discussion board, via private e-mails to struggling students, or to the entire class through use of targeted announcements that address the above. Regarding the use of a discussion board, while it was noted that meaningful and limited student-to-student communication in forums is valued by students and that such collaborative interaction can promote learning, the research reviewed consistently noted that instructors need not be present in most discussion boards (Britt, 2015; Dennen et al., 2007; Grandzol & Grandzol, 2010). In fact, too much interaction from instructors within the discussion board may lead to student frustration, overload and boredom which may greatly diminish student satisfaction (Grandzol & Grandzol, 2010; Northrup, 2002). The need to engage back and forth with the instructor can be seen as busywork. That said,
Jaggars et al., (2013) notes that “if instructors do not maintain an ongoing presence on discussion boards, students may feel that their participation is a waste of time” (p. 6). In essence, it seems that instructors must walk a fine line between too much and too little. The bottom line is that when they do interact in the discussion board, it should be with purpose and meaning.

As previously noted, interaction for the sake of interaction was not valued. According to Meyer (2014), “engagement strategies need to fulfill an educational goal that is tied to the course’s learning objectives and is communicated to students” (p. 70). For instance, when a faculty reaches out to struggling students to offer help or referrals to additional resources, students felt supported in their learning. Likewise, when students receive reminders about assignments (RIT, 2014), coupled with clear detailed instructions about assignments (Jaggars et al., 2013) and sample assignments, with rubrics (Northrup, 2002), they are also likely to report that their instructor is facilitating their success.

Further, one kind of communication that was valued by many students, across multiple disciplines, was introductions regarding new material coupled with summaries of what was accomplished in the most recent discussion board (RIT, 2014). Mupinga et al (2006) goes on to say that acknowledgement of submitted work or e-mails was also highly appreciated.

Lastly, Conrad (as reported by Dennen et al., 2007) found that online learners did not care highly regarding whether or not their instructor responded to their individual introduction or otherwise sent them a personal welcome at the beginning of class. Instead, what they most valued was the ability to ask clarifying questions about the course and when their instructor indicated a willingness to address individual needs (Dennen et al., 2007; Freedman et al., 2003). In sum, while participation in the discussion board has value, there are many additional methods of interaction that are highly meaningful to students.

Recommendations:

- Do not ignore students - even if you’re busy. Acknowledge and respond to ALL email inquiries as well as to questions posted in Q&A forums or otherwise.
- Avoid assigning “busywork” or interaction for the sake of interaction
- Use the announcement features to post introductions to new topics or units/modules
- Use announcements to post follow-ups to work completed in the discussion boards
  - Re-Summarize the material covered.
  - Make comments on emerging themes, clarify areas of confusion and address common mistakes/errors.
  - Acknowledge unique/ noteworthy contributions of particular students and do so by name.
  - Remind students of upcoming assignment due dates and give clear directions

Interactive Technologies

As illustrated throughout this paper, instructors do not need to rely heavily upon expensive or advanced technological tools to foster engagement. Much of what
students want and need can be met through creative and imaginative efforts. That said, while the research finds that most instructors make minimal use of interactive technologies, it is highly recommended that faculty consider incorporating a wide range of synchronous and asynchronous video, audio and communicative technologies into their on-line courses (Jaggars et al., 2013; Johnson et al, 2014). Providing material and interaction in different modalities appeals to different learning styles and goes a long way to fostering a sense of connectedness between faculty and students (Mupinga et al., 2006). Synchronous (in-real-time) interaction between student and instructor may help students feel connected to the instructor, and the material, especially for those students with visual and auditory learning styles. Further, according to Catalyst (as noted by Mupinga et al., 2006), the addition of graphics and audio from the internet may also grab student’s attention and more easily convey ideas than verbal (and written) descriptions might.

While distance learning is not intended to completely replicate the face-to-face environment, the quality of course delivery is supposed to be the same (Ed. Code). In many cases this may mean that an instructor needs to diversify their methods of content delivery to meet the needs of their audience. According to students, lectures or PowerPoints with audio narration and/or weekly audio greetings or introductions to new course material are highly valued as tools for helping students connect with new material and feel engaged (Jaggars et al., 2013; Mupinga et al., 2006; Northrup, 2002). According to Johnson et al (2014): “in classes with video delivery, the higher the student-to-professor interaction, the greater the level of student satisfaction” (p.234). Short video lectures are also highly appreciated when they are to the point and perceived as useful and relevant to the course.

In addition to video and audio delivery of content and announcements, students also greatly appreciate the ability to “talk” to their instructor in real time via chat rooms, instant messaging or such programs as Skype (Jaggars et al., 2013). Further, according to the CCRC, students who have difficulty understanding assignment directions or may have difficulty solving problems greatly appreciate it when instructors provide video demonstrations with commentary designed to promote learning (2014). This is especially true for concepts that are challenging to master. Northup supports this when she notes that strategies to assist students in being organized or to guide the learner through assignments is a highly rated attribute of successful online courses (2002). This is also supported by Mupinga et al (2006) who found that student often express a need for sample assignments and clear instructor expectations.

Recommendations:
- Utilize LMS tools (within Canvas/Blackboard) to record audio announcements, introductions to lectures, or to explain assignment requirements.
- Pre-record or live stream 3-7 minute lectures. Use a script and keep them short.
- Provide visual /audio demonstrations of complex problems, exercises or procedures.
- Make material engaging for different learning styles by adding graphics and visuals.
- Use screen capturing software and voice over to create meaningful PowerPoints.
- Schedule office hours and do them synchronously via live chat, instant messaging, Skype or create a wiki in the LMS (Canvas)

**Section C - Smoothing the way via course design and implementation**

In helping improve the quality of the online learning environment for any course, and thereby fostering a sense of community and engagement which is associated with greater student retention, it is important that instructors design their courses in a manner that facilitates the aforementioned aspects of quality instructor-student interaction. An instructor must consider the balance between structure and communication. For the communication end of this discussion, we will focus particularly on instructor-student interaction.

Students were found to be most satisfied with either structure or interpersonal interaction in an online course depending on which was the focus when constructing the course (Lee & Rha, 2009). Knowing this, and recognizing the strengths of each, instructors can begin to craft courses that purposefully enhance the entire student learning experience.

**Prepare Students to Succeed and Manage Expectations**

When preparing a college course, especially online, instructors should assume a number of their students will need additional assistance in finding resources and building skills to be successful (Karp & Bork, 2012; Northup, 2002). Freedman et al (2003) notes that quality instructors should anticipate what issues might confuse or create uncertainty for their students and proactively address such issues. This is supported by Mupinga et al (2006) who note that to maximize student learning, instructors need to be careful that they do not take for granted that students understand all aspects of taking an on-line course. Creating an orientation letter and a course syllabus that neatly summarize instructor expectations and effectively map out the course could help students better navigate the online learning environment (Dennen, 2007).

Some students will need assistance in organizing themselves and acclimating to the community college experience, as well (Karp & Bork, 2012). It is recommended instructors develop course materials in advance, and then send these materials out in a welcome email about one week before the start of the course. This practice will help students prepare for the course, learn instructor expectations, and take note of the many resources available to them through the college. By providing and disseminating carefully crafted, well-structured communication mechanisms before the start of the course, such as a course orientation letter and syllabus, instructors can ultimately help students achieve success.
**Recommendations for Early Student Preparation**

Some instructors may choose to create a checklist to help students determine if an online course is good for them, or to provide a link to an assessment tool to help the student determine their level of readiness for the online learning environment. Providing expected weekly time commitments for students to interact with the course materials can help students prepare to manage their study time more effectively, as well. Helping students learn to access college resources by providing information with links can cut search time for students who will need to use these tools to succeed.

**Useful Links:**
- Online Learning Readiness Questionnaire - [www.unc.edu/tlim/ser/](http://www.unc.edu/tlim/ser/)
- Is Online Learning For Me? [www.waol.org/prospective_students/isonlineforme.aspx](http://www.waol.org/prospective_students/isonlineforme.aspx)

**Balancing Design with Delivery**

When building an online course, it is important to develop a structure that provides clarity and ease of material access, while also smoothly integrating space for effective, warm, and regular instructor-student interactions. Online students appreciate most those instructor-student interactions that make the best use of their time. More is not necessarily better (Britt, 2015; Lee & Rha, 2009; Mupinga et al, 2006). And, of course, being able to find and access all necessary course materials is important to help students keep themselves on track.

Structure/formatting should be carefully considered with success in mind. In designing a course, instructors will want to make sure students can easily find and access all relevant information / materials including the course orientation letter and syllabus, links to tools that promote interaction (discussion posts, wikis, messaging forums, etc.) and links to additional resources (TLC, library, DSP&S, etc.). Instructors may also find it productive to post rubrics with sample assignments and to provide quality feedback to students (Mupinga et al, 2006). Connecting several sections of an online course through chats, discussion posts, etc., may also help students feel they are more a part of the college community, reducing the isolation some students experience when taking an online course (Mupinga et al, 2006). An instructor could also create a discussion post forum where students introduce themselves to the online class community and can connect periodically throughout the length of the course.

Once the online course begins, weekly announcements should be created to help students organize the course content in manageable chunks and keep up on assignments. To reduce prep time, instructors can prewrite and prerecord weekly announcements in Canvas, the online course platform used by College of the Canyons, for use throughout the semester. Likewise, common feedback utilized in the gradebook can be prewritten and cut and pasted within the gradebook to target specific strengths and weaknesses or to explain assigned grades. Once completed, both can be used in future sections of the same course.
Abundant interactions without direct value may actually result in lower course completion rates, so it may be best to focus on quality rather than setting a “numbers” value expectation on instructor to student interactions (Grandzol & Grandzol, 2010). When crafting communications, instructors should always remember that students appreciate interactions that challenge them.

Students also appreciate quality textbooks, as well as links to supplementary / reference materials relevant to course content (Mupinga et al, 2006). To enhance learning and provide students with a meaningful challenge, discussion posts may be built around relevant current events, perhaps something reported in a current news story or a video from a credible source that directly relates to course material for that week. Instructors can then engage students in conversation that helps students expand their growing knowledge of the course material into the realm of practical, yet creative use.

III. Institutional Recommendations

Clearly, the idea of mandating ongoing, meaningful instructor-student interaction is central to the spirit of Title 5 and the intent of the Board of Governors. As such, community college administrators bear oversight responsibilities with regard to ensuring that faculty are engaged in maintaining contact with students in distance education classes which meets the standards of: (a) regularity, and (b) effectiveness. Further, it is the responsibility of administration to provide faculty with the tools and training necessary to facilitate effective and timely instructor-student interaction. While faculty themselves ultimately bear the responsibility for engaging in course activities that meet these standards, institutions should ensure that operating procedures, evaluation tools, and institutional culture support compliance with this regulation.

After sifting through various peer-reviewed articles, we recommend that collegiate institutions engage in the following:

1. Offer a meaningful amount of training for instructors to teach online, with a focus in faculty-student engagement.

   Professional Development workshop examples:
   * “Fostering Warmth in Online Learning”
   * “Creating Meaningful Relationships in Online Learning”
   * “Preparing Students for Success in Online Learning”
   * “Balancing Design with Delivery in Online Learning”
   * “Being Available for Students without Being Available Around-the-Clock”
   * “Utilizing Language in the Online Classroom”
   * “Office Hours and ‘Meeting’ with Students in Online Courses”
   * “Providing Feedback in Online Courses”
   * “Inserting Hyperlinks in Announcements, Documents, and PowerPoints”
2. Provide faculty with the tools necessary to facilitate the creation of video enhanced interaction within the online environment. This would include both the space to create short lectures as well as the training and equipment to do so effectively.

Professional Development workshop examples
- “Using Technology in the Online Classroom”
- “Create Video Lectures/Announcements for Online Courses”
- “Open Lab for Creating Video Lectures”

3. Offer training opportunities for faculty to learn, and practice, methods of adding audio to their online courses.

Professional Development workshop examples
- “Creating Audio Lectures for Online Courses”
- “Inserting Audio into PowerPoints”
- “Including Audio Notes as Feedback for Assignments”
- “Open Lab for Creating Audio for Online Courses”

4. Train faculty, especially those teaching STEM, on how to utilize screen capture software so that they can demonstrate, in real time, how to access certain information or complete complex problems.

5. Train faculty on how to ensure their course remains compliant with Section 508.

Professional Development workshop examples:
- “Creating 508 Compliant Documents in Microsoft Word”
- “Creating 508 Compliant Documents in Adobe Acrobat”
- “Creating 508 Compliant Videos”
- “Creating 508 Compliant Audio”

6. Establish clear procedures for how online courses will be evaluated in terms of meeting the Title 5 requirement of regular and effective contact. After reviewing extensive peer reviewed journals, we understand that training faculty is one step and evaluating faculty-student interaction is another step in fostering successful instructor-student interactions.

   This may be facilitated via optional mid-semester and end-of-semester student surveys, DE audits, Mentor/Mentee Program relationships, peer review and/or formal performance evaluation.

7. Ensure equitable workload compensation for online delivery (p. 27 of 2015 FIG):

   “When the need arises for courses to be developed or redesigned for online delivery, the department and/or college needs to establish an equitable workload compensation policy that addresses the additional work required of faculty. Consideration of additional time and effort for receiving technology training, planning, designing, delivering and evaluating online instruction needs to be addressed.”
Acknowledgments

We would like to thank James Glapa-Grossklag, Dean, Educational Technology, Learning Resources, and Distance Learning at College of the Canyons, Brian Weston, Director of Distance and Accelerated Learning (COC) and college assistant Pola Pardon, for providing us with assistance and resources while we were developing this project. We would also like to acknowledge the efforts of Erin Barnthouse, Collection Development and Technical and Online Services Librarian (COC), for her help in securing research materials. This project was made possible by a Student Equity Grant (COC).

References


Grandzol, C. J. & Grandzol, J. R. (2010). Interaction in online courses: More is not always better. *Online Journal of Distance Learning Administration*, 13(2). Distance Education Center, University of West Georgia


Manage Student Expectations

Pre-Semester Communications
- Welcome class and provide a personalized and friendly introduction of oneself, with photo, so that students can put a face to the instructor.
- Share a copy of the Syllabus. Outline assignments and class expectations.
- Introduce students to the concept of Netiquette
- Outline specific computer skills and technology that are required by the course.
- Provide links to LMS tutorials to help those new to Distance Education gain necessary skills.
- Provide clear information about what to expect with regards to timeliness of grading and e-mail responses from the instructor. Indicate situations when response time might be suspended.
- Educate students regarding how much time will be expected from them to succeed in your course.

Discussion Board Participation

Participate with Purpose
- Track participation and draw out “wallflowers”
- Prompt students to expand on relevant points
- Answer student-posed questions in Q&A
- Offer additional information when appropriate
- Do NOT engage in all discussion boards with each student. This is associated w/ decreased satisfaction

Use Course Announcements

- Introduce and summarize what is to be covered in the upcoming week or unit/module.
- Review what was previously covered - highlight key topics and review examples.
- Comment on the Discussion Board
  Ex: emerging themes, common mistakes/errors or unique/ noteworthy contributions of particular students (who are named/acknowledged).
- Remind students of upcoming assignment due dates and provide sample assignments.
- Educate and Guide students toward campus-related tools and resources or on-line resources.
- Encourage and recognize hard work.
- Provide general comments on how the class did on an exam or assignment.
- Notify class of instructor absences/illness or other factors that might impact timely communication from instructor or overall availability.
- Share personal news or observations - its friendly and personable and goes a long way.

Prepare Ahead and Design it Well

Build your course with the intent of fostering instructor-student interaction. Pre-write course announcements. Pre-record introductions to new course material. Create rubrics and draft common feedback statements. Add links within LMS for quick reference and referral. Build it well and expect to spend time initiating interaction/contact.

Style and Approach

Be Warm and Friendly
- Be encouraging! Be personable/approachable!
- Use common language - oral and written.
- Reach out to struggling students - Show empathy

Give Feedback
- Students want timely and substantive feedback
  What specifically was liked/needs work?
  Personalized/individual feedback is valued.
  Use student names. Use a rubric.

Schedule Office Hours
- Scheduled time promotes a sense of availability.
- Consider live chat/instant messaging/Skype.wikis.

Effective Use of Email
- Respond to all student emails in a timely manner.
- Use email to check-in on struggling students.

Instructor-Delivered Content

- Students LIKE audio and visual engagement
- Utilize Canvas and other tools to record audio announcements, introductions to lectures, or to explain assignment requirements.
- Pre-record or live stream 3-7 minute lectures.
- Provide visual/audio demonstrations of complex problems, exercises or procedures.
- Make material engaging for different learning styles by adding graphics and visuals.
- Use screen capturing software and voice over to create meaningful PowerPoints.

Promote Self-Assessment: Provide links re: on-line learning readiness and/or learning styles

Online Learning Readiness Questionnaire - [http://www.unc.edu/tlim/ser/](http://www.unc.edu/tlim/ser/)
Is Online Learning For Me? - [https://www.waol.org/prospective_students/isonlineforme.aspx](https://www.waol.org/prospective_students/isonlineforme.aspx)
Sexual Perceptions and Behaviors of Young Adults at an Urban HBCU

Dr. Dominique Broussard
Dr. Grace Loudd

Texas Southern University
Introduction

Purpose and Importance of the Research

Generational Differences Portrayed in Pop culture

It appears as if black culture has shifted from the Marvin Gaye era of we’re going to start talking about sex but only in the context of heterosexual monogamous relationship and any variation that may be happening is considered taboo…to the Salt N Pepa era of we are well aware of the AIDS epidemic and the relationship variations that brought to light but we are not going to stop having sex so let’s have conversations about it before we do anything…to where we are now with The Weeknd era where there does not seem to be much conversation and there is a lot more openness to variation from the heterosexual monogamous relationship.

Limited Research on HBCUs and Healthy Sex Practices

Exhaustive searches through the literature has found very little info on Healthy Sex Practices and even less info on sex practices among young adults attending HBCUs. However, there appears to be more info on whether these young adults have any STIs and if they had any children before they reached 18 years of age. This research project is hoping gain insight into the perceptions and behaviors of this population.

Historically Black Colleges and Universities

Background

“was established prior to 1964, whose principal mission was, and is, the education of Black Americans, and that is accredited by a nationally recognized accrediting agency or association determined by the Secretary to be a reliable authority as to the quality of training offered or is, according to such an agency or association, making reasonable progress toward accreditation, except that any branch campus of a southern institution of higher education that prior to September 30, 1986, received a grant as an institution with special needs under section 321 of this title and was formally recognized by the National Center for Education Statistics as a Historically Black College or University but was determined not to be a part B institution on or after October 17, 1986, shall, from the date of enactment of this exception, be considered a part B institution.” (2013 amended Higher Education Act of 1965 http://legcounsel.house.gov/Comps/HEA65_CMD.pdf)

National Center on Education Statistics from 2011

Over 20 million students enrolled at HBCUs

81% of students at HBCUs identified as Black and/or African-American
9% of all Black students enrolled in institutions of higher education were enrolled at a HBCU.

The White House Initiative on HBCUs

HBCUs make up 2% of institutions of higher education

There are currently 102 accredited HBCUs in 19 U.S. states, D.C. and the U.S. Virgin Islands

Texas Southern University

Located in Houston, Texas, founded in 1927, Texas Southern University has an enrollment of over 9,000 students. Of those over 9,000 students 82% identify as African American.

Literature Review

National Survey of Family Growth (2006-2010)

Never married Non-Hispanic Black males have higher percentage of sexual experience than Whites & Hispanics

However, Non-Hispanic Blacks were less likely to be sexually experienced if:

- Lived with both parents at age 14
- Mothers had 1st birth at age 20 or older
- Mother graduated college
- Currently living with both parents

Several studies indicate:

- Young adults (18-27) make up half of the cases of STIs
- African American females age 13-24 are disproportionately affected by STIs
- Certain factors determine condom use:
- Less than 25% of young adults use condoms in committed relationships
- Demographics can increase your condom use and decrease risky behavior.

Methodology

Design

- Exploratory
- 30-minute online survey (34 items)
• Data collected during May-July 2015
• Incentives offered

Analyses
• SPSS 23
• A series of descriptive statistics, chi-squares, and logistic regression.

Demographics
• Spring/Summer 2015
• AA College Students (N=188)
• 18-26+
• Male (25%); Female (75%)
• Christian (85%)
• Income $10,000 or less (50%)
• Sophomore-Graduate Level (99%)
• No children (87%)

Current Living Status
With parents/family (29%)
On-campus (23%)
Off-campus - Alone (19%) Roommate (15%) Cohabitation with partner (10%)

Relationship Status
Single and dating (32%)
Single and not dating (30%)
Committed relationship (27%)

Overview- Sexual Perceptions
• Primary sexual orientation is heterosexual (89%)
• Believe it is more enjoyable to be married (73%)
• Regards sex as building intimacy (51%); recreational enjoyment (24%)
• Favored premarital sex (56%); not marital infidelity (81%)
• Does not favor polyamorous relationships (71%)
• Religious beliefs influence sexual decision-making (64%)
• Sex acts most discouraged were premarital (77%) and same gender sex (68%)
• Only 39% very concerned about contracting HIV or STI

Overview- sexual Perceptions

• Think about sex once to a few times per day (50%)
• Engage in two or more oral/vaginal sexual acts weekly
• Report an average of 8-9 lifetime sexual partners ($M=8.8, SD=11.6$)
• Are inconsistent condom users
  • 52% reported overall general use
  • 36% reported use at last sex

Contextual Factors

• Most reported very little engagement with alcohol (72%) or drugs (81%) during sexual activity
• Reported receiving an HIV or STI test during their lifetime (62%)

Research Questions

Differences in sexual perceptions:

Relationship preferences and norms

• Preferred relationship status differed based on gender
• Current relationship status changes with age
• Religiosity influenced preferred relationship status

Differences in sexual behaviors:

Thinking about sex, HIV/STI testing, and condom use

• Men think about sex more often
• Women reported condom use at last sex and HIV testing
• Ever receiving HIV/STI test occurs most often among the oldest young adults, graduate professionals, and those with higher household incomes

The odds of not using a condom at last sex increases:

• As young adults age
• As income increases
• As religious identification intensifies

Men are 5 times more likely to report not using a condom at last sex.

Note: R2=.43 (Nagelkerke); Model X2(1)=61.27, p <.05

Discussion
• Our sample adheres to strong traditional values
• We observed developmental patterns that reinforce the major psychosocial challenge during this stage: intimacy.

Summary
• Implications of Results
  • What types of programs can we develop to increase condom use?
• Future Research

Limitations
• Survey Deployment
  • Study may have missed some new freshmen
  • Students with children may not have been as likely to submit a survey
• Convenience Sampling
• Self-reporting
• Sensitive content
• Generalizability
<table>
<thead>
<tr>
<th>Variable</th>
<th>B (SE)</th>
<th>Lower</th>
<th>exp $b$</th>
<th>Upper</th>
</tr>
</thead>
<tbody>
<tr>
<td>Constant</td>
<td>-4.08</td>
<td>.400</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Age</td>
<td>1.63*</td>
<td>1.24</td>
<td>5.10</td>
<td>20.92</td>
</tr>
<tr>
<td>Gender</td>
<td>1.76*</td>
<td>.052</td>
<td>.171</td>
<td>.557</td>
</tr>
<tr>
<td>Religion</td>
<td>1.40*</td>
<td>1.14</td>
<td>4.09</td>
<td>14.59</td>
</tr>
<tr>
<td>Income</td>
<td>2.85*</td>
<td>1.88</td>
<td>17.44</td>
<td>161.43</td>
</tr>
<tr>
<td>Rarely thinking about sex</td>
<td>1.39*</td>
<td>.062</td>
<td>.247</td>
<td>.990</td>
</tr>
</tbody>
</table>
Apple v. FBI: Privacy vs. Security?

Professors Georgia Holmes and Sue Burum
Minnesota State University, Mankato
Introduction

Imagine in the not too distant future, a pimp in Florida who solicits customers for prostitution with his girls from his cellphone. Later, he is found shot in an alley. The police have a reasonable belief that a customer may have been blackmailed by the pimp and retaliated by shooting the pimp. The police also have a reasonable belief that the pimp used his iPhone to conduct business. Therefore, they suspect that his iPhone will contain contacts with other pimps, drug dealers, and criminals. They also want to see his list of customers to shut down prostitution in the city. The police have a reasonable suspicion that his iPhone may contain evidence of many other different criminal activities. The police go to a court and ask for a warrant to open the iPhone and search for criminal activity. The officers establish probable cause and the court gives the department a search warrant. However, the pimp’s iPhone is locked. The iPhone he was using is an iPhone running iOS 12 (a hypothetical future iPhone operating system), and it is password protected by the iris scan and thumbprint recognition features. The body was in an alley for a while, so the victim’s thumbs and eyes will have decomposed and cooled to the point where they no longer open the iPhone. The conductance that triggers the iPhone’s sensor requires an alive person who has a working metabolism. The police do not know how to get into the dead pimp’s iPhone. They want Apple to open the iPhone so the police can access the information they believe the search warrant entitles them to look for. They ask a court to order Apple, through the All Writs Act (AWA) of 1789, to create a backdoor to iPhones for all law enforcement agencies to use to get around secured iPhones with a court warrant (AWA, 1789). The iPhone, with the hypothetical iOS 12, will self-destruct if too many attempts are made to get around security measures. Apple then informs law enforcement agencies that the company does not have a backdoor or secret way to get around the built-in security measures. Therefore, the police department feels helpless.

This hypothetical situation is likely to occur more and more frequently. Therefore, this paper will analyze cellphone users’ desire for secure phones and the United States government agencies’ need to see if legally searchable information is stored on these cellphones. These authors will provide potential solutions to be considered for immediate law enforcement cases as well as future cases, such as the one presented in this introduction. These authors believe law enforcement have and, in the future, will have many tools available to execute search warrants on what appear to be locked cellphones.

History and Current Case Facts

The National Security Agency (NSA) is an intelligence agency that was formed in 1952. The agency’s task is to intercept foreign signals and keep America’s information safe (NSA, 2016). In 1980, the NSA developed Skipjack, a cryptographic algorithm, which is a kind of programming to keep a system secure when information travels over untrustworthy networks like the Internet, to break the codes that protect foreign government communications (Crypto Museum, 2016). In 1987, Congress passed the Computer Security Act (Computer Security Law, 1987). This law was intended to limit the NSA’s role in developing standards for civilian communication systems. In spite of this legislation, the NSA developed the Clipper Chip in 1993 (Electronic Privacy Information Center, 2016). It is a cryptographic device that is supposed to protect private communications while providing a built-in backdoor to the government that
would enable access to privately encrypted cellphone communication. The hope was that telecommunications companies would adopt the chip. In 1994, Matt Blaze, Associate Professor of Computer and Information Science at the University of Pennsylvania and researcher in the areas of secure systems, cryptography, and trust management, published a paper demonstrating the vulnerability of the chip that allowed it to be hacked (Blaze, 1994). Papers by others who were critical of the chip followed (Frankel & Yung, 1995). The chip was not adopted by manufacturers or embraced by consumers. In 1994, Congress passed the Communications Assistance for Law Enforcement Act (CALEA) to aid law enforcement in its effort to conduct criminal investigations of tapping digital telephone networks (CALEA, 1994). CALEA required telecommunications companies to make it possible for law enforcement agencies to tap any phone conversation carried out over their networks. Congress provided money to companies to implement the law. By 1996, the Clipper Chip was no longer relevant. The U.S. government continued to press for the creation of another backdoor to updated cryptographic software, but widespread use of stronger cryptographic software that was not under the control of the government seemed to end the debate on the use of a chip. CALEA was updated in 2006 to cover some Voice over Internet Protocol (VoIP) services and broadband Internet. However, technology and encryption was changing so fast the law was never able to keep up, so Congress did not continue to update the law.

After the terrorist attacks on the World Trade Centers on September 11, President George W. Bush, by executive order, authorized the NSA to search phone calls, messages, and Internet activity without a warrant if any party was outside the country, even if the other party was in the country (Washington, 2008). The Bush Administration, under public pressure, stopped the program in January 2007 and returned review of surveillance to the U.S. Foreign Intelligence Surveillance Court (FISA Court). In 2008, in the FISA Amendment Act, Congress relaxed some of the FISA Court requirements, and warrantless wiretapping continued during President Barack Obama’s administration (Washington, 2008).

In 2013, ex-NSA contractor Edward Snowden released intelligence files that he had access to and took during his NSA employment. On August 6, 2013, President Obama made a public appearance on national television in which he reassured Americans that "We don't have a domestic spying program" and "There is no spying on Americans" (Henderson, 2013). However, further leaks of Snowden's files demonstrated that the NSA and the British government had access to user data on iPhone, Blackberry, and Android cellphones. The NSA was actually spying domestically and could read almost all smartphone information. In 2015, the NSA began dismantling their domestic spying program (TakePart, 2016). However, the desire of other law enforcement agencies to have a backdoor to cellphones continued.

Since iOS 8 in 2014, Apple intentionally developed new encryption methods that were so effective that even Apple could no longer comply with law enforcement’s requests for the extraction of information from its devices. By September 2015, Apple created the iOS 9 operating system. In this operating system, the device was protected by a four-digit code. The contents of the phone could not be accessed after ten attempts to unlock the phone with the wrong code. Shortly thereafter, two cases arose concerning Apple’s iPhones and encryption.
In the first current case, on October 8, 2015, investigators seized an iPhone 5C running iOS 7 from a suspected drug dealer, Jun Feng, in Brooklyn, New York. The Brooklyn U.S. Attorney’s office sought to compel Apple, through the All Writs Act of 1789, to help them to get past the encryption. On October 9, Magistrate Judge James Orenstein, from New York’s eastern district, denied the request. The All Writs Act allows courts to request the assistance of a third party. For example, Apple, who is not one of the actual parties in the drug case, would be a third party. Magistrate Judge Orenstein did not issue a ruling but indicated that the government’s reasoning was not sufficient to compel Apple’s assistance. Apple responded to his decision ten days later on October 19 and indicated that the government’s request was unreasonably burdensome because it was technologically impossible for Apple to open the iPhone. Apple also indicated that, even if it were possible, doing so would damage customers’ trust in Apple’s products and tarnish Apple’s brand. On October 22, the Brooklyn district attorney responded to Apple’s unreasonably burdensome argument by saying that Apple assisted in the past in different cases under All Writs Act orders. Therefore, it was technically possible to assist (Mintz 1, 2016).

A second case arose on December 2, 2015. Syed Fizwan Farook and Tashfeen Malik killed 14 people and injured 22 more at the Inland Regional Center in San Bernardino, California. It is believed the attack was inspired by the Islamic State terror group. The shooters died four hours after the attack—after destroying their personal cellphones—in a shootout with police. Farook worked for San Bernardino County, and he was issued an iPhone 5C running iOS 9 through his work. His work iPhone was later recovered intact. On February 9, the FBI announced that it was unable to unlock the county-owned iPhone because of its advanced security features. The FBI asked Apple to create a new version of the iPhone’s mobile operating system that could be installed and run on random access memory (RAM), in order for them to disable security features. Apple was given 10 days, until February 26, to comply with the order. However, on the same day as the judge’s order, Apple CEO Tim Cook distributed a public letter to customers indicating that Apple would not comply with it. He indicated that creating a backdoor was too dangerous because it could be used by hackers to get around security measures on all Apple devices running the operating system. Therefore, to comply would compromise the security of all users (Cook, 2016).

Unlike the New York case in which the judge ruled that Apple did not have to create a backdoor into their iPhones, the California Justice Department tried to force Apple to bypass the security features on Farook’s iPhone, on February 16, 2016. California Magistrate Judge Sheri Pym, under the All Writs Act of 1789, ordered Apple to create a new operating system, that has a backdoor for law enforcement use and install that operating system as an update on all iPhones. This would make it easier for law enforcement agencies to access any data on any cellphones after getting a warrant. Apple was given 10 days, until February 26, to comply with the order. However, on the same day as the judge’s order, Apple CEO Tim Cook distributed a public letter to customers indicating that Apple would not comply with it. He indicated that creating a backdoor was too dangerous because it could be used by hackers to get around security measures on all Apple devices running the operating system. Therefore, to comply would compromise the security of all users (Cook, 2016).

In February 2016, the two cases—the one in New York and the one in California—began to merge. On February 17, Apple wrote a letter to New York Magistrate Judge Orenstein saying the company had received similar requests to gain access to iPhones through the All Writs Act. Apple said this indicated that the government’s request was not a single-use request. On February 19, California Magistrate Judge Pym was asked by the FBI to force Apple to comply with the order to access Farook’s iPhone. The
government said Apple’s refusal to comply was just a marketing strategy. In a call to reporters, Apple countered that San Bernardino County changed the iPhone’s Apple ID. This mishandling of Farook’s iPhone ruined the government’s chances of getting into the iPhone without forcing Apple to write new software.

Also on February 19, Manhattan District Attorney Cyrus R. Vance, Jr., said encryption was preventing his investigators from accessing 175 Apple devices. On February 25, Apple formally objected to California Magistrate Judge Pym’s order. On February 29, New York Magistrate Judge Orenstein formally denied the government’s request to force Apple to assist, under the All Writs Act of 1789. The judge said the use of the All Writs Act in the case at hand would not be “agreeable to the usage and principles of the law” (Mintz 1, 2016). To use the All Writs Act the way the Justice Department proposed would undermine the Constitution’s separation of powers framework. Activist trial courts would now have the power to issue any orders, even if Congress did not expressly authorize courts to do so. The courts should not be forcing Congress to make or change laws when Congress has decided it does not wish to do so. The government’s interpretation would give activist trial courts law making powers, rather than limited gap-filling powers in interpreting law Congress already passed. The government’s interpretation would then allow for the courts to sidestep Congress. Magistrate Judge Orenstein noted that Congress had considered whether to require information service providers like Apple to assist in criminal investigations, but did not enact legislation. Thus Congress considered updating the law, but decided not to do so. They believe the courts should not be going around Congress to update the law.

On March 7, the Brooklyn District Attorney’s Office appealed New York Magistrate Judge Orenstein’s decision that Apple would not need to create a backdoor. On March 10, the government filed a response to Apple’s request to California Magistrate Judge Pym. Apple wanted her to abandon her order requiring Apple to assist in creating the backdoor. The government said it is just a measure to be used in the one case; it would not be used extensively in the future. The government also argued the backdoor request is modest and would not cause undue hardship on Apple to make. On March 21, researchers at Johns Hopkins University discovered a security flaw in Apple’s encrypted iMessage platform that allowed them to decrypt photos and videos on all Apple iPad and iPhone devices. The FBI also said there was a third party who could potentially help them access the California iPhone of Farook, but they never mentioned who this mysterious third party was (Brandon, 2016). They requested the March 22 court date be postponed. On March 28, the FBI indicated that it was able to unlock the iPhone with the undisclosed third-party’s help. The Department of Justice ended its pursuit of forcing Apple’s compliance in the case. However, FBI Director Comey said the third-party hack was limited and could only unlock iPhone 5C and older models that lack the Touch ID sensor. Therefore, on April 8, the Justice Department told the New York court that it intended to continue with its request for assistance in that case. The iPhones in the California and New York cases were different models with different encryption. The third-party hack that worked on the iPhone in California did not work on the iPhone in New York. On April 22, the New York case came to a conclusion. Someone provided a pass code for the iPhone (Carollo, 2016).

During the days when these cases were in the news, the United States was split on how the cases should be resolved. Law enforcement agencies and prosecutors sided
with the FBI, as well as 50% of Americans who responded to a CBS News poll (CBS, 2016). 45% of the Americans in the CBS News poll sided with Apple, and so did the technology companies and American Civil Liberties Union. The remaining 5% were undecided. Republican presidential candidates Ted Cruz and Donald Trump sided with the FBI (Detsch, 2016). Other presidential candidates like Bernie Sanders, Hillary Clinton, and Marco Rubio did not take sides and saw the issue as more nuanced (McGregor & Tan, 2016).

The Dispute

The FBI’s Position

The FBI wanted Apple to open iPhones or create a backdoor in its operating systems even before these two cases occurred. On October 16, 2014, at the Brookings Institution in Washington D.C., FBI Director James Comey delivered a speech that questioned whether technology and privacy were on a collision course with public safety (Comey, 2014). He indicated that technology had become the tool of choice for very dangerous people who threaten the United States’ safety. He informed people that law enforcement agencies were going dark. This means that law enforcement agencies are unable to execute a warrant due to the inability to get into a locked cellphone or device. Prosecutors and investigators were having trouble doing their jobs. They were not able to access evidence on devices like Smartphones, even with court warrants, because they lacked the technology to do so. Access is a problem for real time data like cellphone calls, email, and live chat sessions. It is also a problem for information that is stored on cellphones. According to Comey, interception is now far more difficult (2014). In the past, all law enforcement needed to do was identify a person and develop probable cause to show the court the person was a bad actor who was connected to criminal activity. If the court was convinced there was probable cause that criminal activity was afoot and this person was connected to that criminal activity, law enforcement could get a wiretap. There was one telephone provider and, under court supervision, the agency could tap a telephone and collect evidence. Today there are countless providers and many devices that can be used to communicate, severely complicating the work of law enforcement agencies. Comey (2014) noted:

If a suspected criminal is in his car, and he switches from cellular coverage to Wi-Fi, we may be out of luck. If he switches from one app to another, from an iPhone to a prepaid phone, or from cellular voice service to a voice or messaging app, we may lose him. We may not have the capability to quickly switch lawful surveillance between devices, methods, and networks. The bad guys know this; they’re taking advantage of it every day.

FBI Director Comey’s view of law enforcement powers is very expansive.

Clearly the Communications Assistance for Law Enforcement Act (CALEA) of 1994 failed to keep up with changing technology and encryption. By 2013, the FBI wanted communications that were encrypted and went across the Internet, such as instant messages, video chats, and emails, to be covered by CALEA and made accessible to law enforcement agencies. Congress did not change the law. CALEA’s purpose was to enable law enforcement agencies to conduct electronic surveillance by requiring carriers and phone manufacturers to build in surveillance capabilities to allow for wiretaps. It was extended to cover broadband Internet and VoIP traffic. But it did not continue to cover newer forms of communication. Thousands of companies provide
communication services, and most are not required to provide lawful intercept capabilities. In addition to this, encryption can make intercepted data useless. With Apple’s newer operating systems, encryption is the default method. This makes it such that the companies cannot even unlock cellphones. The FBI considered CALEA to be a loss, and this contributed to the feeling that law enforcement was going dark. This was also a contributing factor in the agency deciding to try to get the courts to do what Congress was not doing and change the law.

Farook’s iPhone was an iPhone 5C running iOS 9. This model was sold in late 2013 through 2015. The model was initially sold with iOS 7 that had some encryption options a user could use. When iOS 8 was developed, the encryption was automatic and more extensive. Techniques for looking into older iPhones involved examining the iPhone’s storage disk, but that technique did not work on Farook’s iPhone 5C running iOS 9. In the case of Farook’s iPhone, then, the FBI could no longer just remove the storage disk and examine it. One needs the cryptographic key to decrypt the data on the iPhone. The only way to access the phone’s memory, according to the FBI, is through the cellphone using the correct passcode (Bonneau, 2016). However, the keys on the iPhone might be erased after ten unsuccessful attempts to guess the password. After each failed password attempt, the time interval before someone could try again becomes longer. In the case of Farook’s an iPhone 5C running iOS 9, the FBI did not want the time interval between attempts to lengthen in order for them to use a computer to make many password guessing attempts quickly and make sure that keys would not be erased. This is called brute force. In all of these iPhone and cellphone cases, the FBI has wanted to access personal data such as photos, messages and attachments, email, contacts, call history, Internet searches, iTunes content, notes, and reminders. This is far beyond what law enforcement agencies could access with a warrant to tap a landline phone. A warrant to tap a cellphone is more like a warrant to search a house. The FBI also wants Apple to create a backdoor program that does not include the delay time between password attempts so the FBI can use brute force attacks, therefore allowing them to use high speed computers to guess passwords quickly many times. The longer intervals between failed attempts was created to stop these types of brute force attempts to get around the ten incorrect-attempt limit. Apple designed the system so Apple itself would not have access to the passwords to customers’ devices. However, the FBI cannot write its own backdoor software because it would take a long time, and it would be very difficult to reverse-engineer all the details of Apple’s encryption. Also, iPhones are only designed to run software that is digitally signed by Apple. Only Apple knows the signing key, which allows programs to be installed on their computers. Apple would certainly insist on testing any software they had to sign or accept for use. The New York drug dealer’s iPhone 5C was running iOS 7. Apple already possessed the ability to circumvent passcode security on iPhones running iOS 7 and older. Apple Stores had the ability to bypass the unlock screen in those older operating systems when customers had forgotten their passcode (Zetter, 2016).

To force Apple to write new software that would better accommodate attempts to break into a cellphone, the FBI turned to the All Writs Act. The All Writs Act authorized the United States federal courts to “issue all writs necessary or appropriate in the aid of their respective jurisdictions and agreeable to the usages and principles of the law” in 28 U.S.C. section 1651 (AWA, 1789). The act was part of the Judiciary Act of 1789. In
the past, the U.S. Supreme Court has considered the use of this act through a couple of cases concerning landline telephones. In *FTC v. Dean Foods Co* (1966), the U.S. Supreme Court concluded the need for the use of the writ must be “compelling.” The U.S. Supreme Court, in *United States v. New York Telephone Co.* (1977), held that a U.S. District Court could order a telephone company to assist law enforcement in installing a single-use device on a rotary phone in order to track the phone numbers dialed on that telephone because there was a reasonable belief that it was being used for criminal activity (US., 1977). Since 2008, the government has been trying to use the All Writs Act to force companies to provide assistance in cracking into their customers’ cellphones. Four conditions must be met before the All Writs Act can be used to force Apple and other manufacturers to create a backdoor to its iPhones (Richards & Hartog, 2016):

1. The All Writs Act is only applicable if there is no statute, law, or rule on the books to deal with the issue in a case.
2. The business has to have some connection to the investigation.
3. There must be extraordinary circumstances that justify the use of the All Writs Act.
4. The All Writs Act only applies if compliance is not an unreasonable burden.

In these cellphone cases, the first three qualifications are met. First, there is no law that compels a software company to create new software to bypass a security feature on a device and operating system it developed. Second, Apple is connected to this investigation because the criminals used an iPhone and operating system developed by Apple. Third, at least in the Farook case, there is an extraordinary circumstance as 14 people died and there could be information on the iPhone that could help in the investigation. The fourth qualification is the one that has been in question. The request must not place an unreasonable burden on Apple. The FBI concluded there is no unreasonable burden to Apple because they have complied with court orders in the past. This is just a one-device request and, because Apple wrote the software, it should be relatively easy to create a backdoor to access this device, and any other iPhone they may have a need to access.

**Apple’s Response**

In response to past court orders, Apple has helped the government extract certain specific information from older iPhones. According to press reports, this could have happened as many as seventy times before the current requests (Bonneau, 2016). But Apple says there is no way for the company to do so on the newer operating system. Apple’s response to the FBI’s line of argument focuses on four areas.

Firstly, they claim that law enforcement is not going dark. Most owners of Apple devices back up those devices to iCloud. The Cloud is accessible to the FBI (Thielman, 2016). While not all data on a device is uploaded to the Cloud, many items are. The cellphone providers people use also have data. This data includes telephone records and location information, although it would not provide the content of communications. Also, some kinds of online metadata, which underlie programs that run things, especially for business, will remain unencrypted. The networked systems could not function otherwise (Naughton, 2016).
Secondly, Apple says writing secure software is not easy. It would require extensive manpower and it would take time as it would have to go through robust testing. Creating the new software would be a massive burden to Apple.

Thirdly, Apple believes a backdoor is something that should never be created. It is simply too dangerous. Once it exists, it will not be used for just one case (Powles & Chaparro, 2016). All law enforcement agencies will want access to the backdoor. Also, a backdoor could fall into the hands of hackers. This would make devices running the software subject to being hacked. All of Apple’s customers could face a loss of their privacy. Governments in other countries would also demand access to the tool once it exists. It would be impossible to keep a backdoor solely for the use of the U.S. Government (Bonneau, 2016). This would further erode customer trust, as well as decrease the security of all of Apple’s devices.

And fourthly, Apple believes the country needs a legislative fix to update the law and to create a level playing field among all cellphone providers and manufacturers. In a post-Snowden world, this may be hard. People have a better understanding of hacking and the amount of data that could be at risk. However, the consideration of customers’ concerns for privacy and the threat to their security if the backdoor falls into the wrong hands is so dire, Congress is the one that must decide this issue. It has been too long since Congress passed laws even remotely related to this situation. Cellphones did not exist in 1789 when the All Writs Act was created. Even the case United States v. New York Telephone Co. (1977) may be too old to adequately apply the All Writs Act to. It is especially too old to apply to new cell phone cases. New York Telephone was a highly regulated industry, which could allow the government to impose more obligations on the company. However, Apple is not a highly regulated industry. Also, the FBI is asking the company to write code that does not exist. In the New York Telephone case, the FBI simply wanted the telephone company to give them some telephone lines next to the gamblers’ lines. These lines already existed. The courts cannot take the 1977 case, which dealt with landlines and attached telephones, and apply it to cellphones (Shahani, 2016). This action would really result in the courts making new laws. The courts do not hold hearings and hear the concerns of many people. They focus of the facts and the case in front of them. This focus is too narrow to make new policy in this area. The role of the courts is to decide specific cases, not to hold hearings on the issues of public concern.

Apple’s Position

Apple believes they need to provide security and privacy in the use of their devices. Devices are like the purses or wallets of old. Devices hold people’s credit card information, photos, messages, calendars, books, Internet searches, and they can be used to communicate with family members, including children. In the wrong hands, this information can adversely affect the owner of the device. There is a constant battle between Blackhat hackers and Apple. Blackhat hackers are dangerous hackers that violate computer security simply to be malicious or for personal gain. Because of this, Apple believes they need advance security to keep customers’ data secure. They cannot be forced to create backdoors to their operating systems, as these can never be kept so that only law enforcement can use them. A backdoor will become a hacker’s tool and enable governments in other countries, who may be less sensitive to an individual’s freedoms, to demand the use of the backdoor to better control their citizens.
It may be impossible for Apple to deny another government’s request if they created one for the FBI to use. In another country’s hands, the use of a backdoor could include infringing on an individual’s rights. All computer hardware and software companies face these same issues. Even Facebook, in their instant messenger application, switched to end-to-end encryption (Kulik, 2016). End-to-end encryption will hopefully make it so only a user can read a message, and in principle prevents potential hackers. If Apple does not fight this battle with the FBI or loses this fight, the requests for law enforcement assistance will expand to all other technology companies (Kulik, 2016). Apple believes they cannot allow for a broad precedent to be set through the courts. What happens to one company happens to all. Congress must review and make laws that balance the need for both the government and individuals to be secure in their devices (Richards & Hartzog, 2016). Until Congress acts, Apple says the FBI must use other means to gather information.

Apple also argues that complying with the order requires writing code. Some courts have indicated in other cases that computer code could be a form of speech (Golumbia, 2016). If so, the government is forcing Apple to speak when Apple objects to the writing of what it considers to be malicious code. This is a violation of Apple’s First Amendment Freedom of Speech rights.

The FBI’s Response

The FBI downplayed Apple’s security concerns. Law Enforcement is trying to solve crimes and fight terrorism. They are not trying to pose a threat to consumer privacy or digital security. The FBI believes they are the “good guy,” and people need to give up a little privacy in order to be more secure. The FBI went so far as to accuse Apple of refusing to cooperate with a court order simply for business concerns. Comey concluded that corporations like Apple that have a monetary stake in an outcome should not resolve the tension between privacy and security. It should also not be resolved by the FBI that investigates for a living. The tension is one the courts must consider every time they consider issuing a warrant (Barrett, 2016).

The Authors’ Positions

Not Privacy Versus Security

The authors writing this article see five areas for careful thought in resolving the interests of Apple and the FBI and in any future cases. First, the issues are not a case of privacy versus security. At a minimum, they are a case of security versus security (Benkler, 2016). The United States needs to be secure. After seeing terrorist attacks on U.S. soil and overseas, people realize that there is no way to exercise freedoms and rights, or even have a normal day, if they need to look over their shoulders all the time for someone who might want to make some statement by harming or killing them. People do not just need privacy in their cellphones. Their cellphones also need to be secure. The security of the cellphone is the only way the material on it can be private. This implies that the conflict is not privacy versus security but is security versus security. People need both a secure country and a secure cellphone. But this description alone does not fully explain the conflict. It is also a conflict over legitimacy. Law enforcement and other national security agencies like to have all the backdoors and wield unlimited power in keeping people safe. People are expected to trust the government because it is the “good guy.” But that much power in the hands of any agency is too subject to abuse. Edward Snowden copied and leaked information that revealed numerous global
surveillance programs. The NSA gathered private information such as the content of emails and instant messages from millions of civilians without court supervision or orders. They tracked and mapped the location of cellphones and even used cookies. Cookies are little files hidden in a computer to track browsing sessions and save useful information like account names and passwords. Advertisers use cookies to track products that may interest consumers. What was the government doing with the information they collected from their cookies, especially since most of the information was gathered from people who were not suspects or people of interest? These people did not consent to the government gathering information on them. What databases were developed and for what purpose? How much information should the government gather on noncriminal citizens? Was Snowden a patriot or traitor? Does it even matter? In a democracy, how much information can a government keep secret from their people and yet still allow the people to effectively do their job as citizens to act as a check and balance to government?

One of the real damages that was done is the lessening of public trust in government. Citizens are concerned about whether the U.S. is acting legitimately and within the Constitution. People are not as willing to trust that the government is only using vast powers to protect people. This is important to this case. Apple’s decision to redesign its iPhone’s software was a direct reaction to the Snowden disclosures. Apple designed its software such that even they could not crack into it to reassure customers that their devices were secure for the owner’s most private data. Citizens do not want a government that refuses to be transparent or accountable looking into their phones and devices. People want their autonomy and privacy. Until trust is restored government, there will be a conflict between institutions and trust-independent technology. It is not just a criminal or terrorist who wants encryption and secure phones.

**Apple’s Attempt to Expand Corporate Personhood**

Second, these authors are also very concerned about Apple’s attempt to claim First Amendment Freedom of Speech rights. The rights in the Bill of Rights are individual rights held by real, natural people. Corporations are not people in the traditional sense. Courts and Congress need to carefully consider whether individual rights should be extended to corporations and how far the individual rights should cover the corporation (Powles & Chaparro, 2016). In a legal sense, this is referred to as corporate personhood, which means that corporations have some, but not all, of the legal rights and responsibilities of physical human beings. In 1978, in *First National Bank of Boston v. Bellotti* (1978), the Supreme Court held that corporations have a Freedom of Speech right to make contributions in ballot initiative campaigns (First, 1978). Massachusetts tried to bar several corporations, including First National Bank, from contributing in a ballot initiative because they that the corporations were trying to influence the election. The Court concluded that Massachusetts was interfering with corporate speech rights. The First Amendment was designed to foster individual self-expression, but it also had a role to play in providing the public access to information and ideas. The free flow of information, even commercial information, to the public should not depend on the source of the information. Thus, both corporations and individual speakers have a role to play in public debate and discussion.

This case helped pave the way for the 2010 decision in *Citizens United v. Federal Election Commission* (Citizens, 2010). Central to the decision in this case is the issue of
whether a corporation, by virtue of being an artificial entity rather than a natural one, was enough reason to be able to impede the speech rights guaranteed by the First Amendment. Relying on *First National Bank of Boston* (1978), the Court rejected the argument that the political speech of corporations should be treated differently than natural persons. Supreme Court Justice Anton Scalia commented, “The [First] Amendment is written in terms of ‘speech,’ not speakers. Its text offers no foothold for excluding any category of speaker, from the single individuals to partnerships of individuals, to unincorporated associations of individuals, to incorporated associations of individuals” (Citizens, 2010). Thus, freedom of speech is also held by corporations.

Why do corporations want speech rights, which are considered to be personal freedoms? Initially, the desire for Due Process and Equal Protection rights may have been mostly for economic reasons. A corporation would not want to be treated differently from a private person in business, lest the corporation find itself at a competitive disadvantage to the individual business person. If regulations would require a corporation do more or provide more than a private person in business, this extra regulation could result in added costs for the corporation that a private businessperson would not have. However, for some companies, the purpose for attaining Corporate Personhood may now involve the exertion of a more proactive influence on society. This may involve the ability to support political candidates who share values with the owners of the corporations or simply the opportunity to be heard on social issues. If a corporation has more money to spend than a natural person, the corporation has a better chance of being heard. Is there any harm in sharing personal freedoms with a corporation? There may be harms to individuals. In the case of free speech, if a corporation can spend whatever amount it chooses to influence elections, the election process could become complicated. Politicians and the public may listen to a corporation that has a large pocketbook. However, an individual with different views and a much smaller pocketbook may encounter trouble being heard by anyone. This does not contribute to the goal of the First Amendment, which is to present as many views as possible to the electorate so voters can hear many different ideas, weigh those ideas, and vote based on what they believe to be the best solutions. Fewer ideas will be heard (Holmes & Burum, 2015).

Companies, including Apple, like to argue that code is speech (Editorial, 2016). If companies are people and have First Amendment rights, then they cannot be forced to write code. This interpretation could do damage to the government’s ability to regulate commerce and protect consumers (Golumbia, 2016). Setting up formulas in a spreadsheet is writing code. Code does not have to be as complicated as writing an operating system for devices. If companies cannot be forced to create spreadsheets, then regulating the finances of a company becomes impossible. If a company does not like some financial transparency requirements, the company could simply claim it is compelled speech to make the company create a financial spreadsheet. Environmental laws are designed to protect the health of citizens in the country. The Clean Water Act of 1948, which was greatly expanded in 1972, requires polluters to “install, use, and maintain” monitoring equipment and use the data to “make reports” about what is discovered. Companies have to use software to implement an environmental policy. But what happens if the company disagrees with the policy? Again, the company could argue creating the reports would violate the company’s freedom of speech. The
government would be compelling the company to speak. This would make it impossible for the government to regulate businesses to protect the health of citizens.

Changes to the Copyright Act in 1980 (Copyright Act, 1980) have made it clear that computer code is covered by copyright law, which also protects speech, rather than by patent law, which protects innovations. However, it does not necessarily follow that computer code is speech protected by the First Amendment. Courts and Congress have yet to expand First Amendment free speech rights to the writing of code, and Apple is expanding the law by arguing that writing computer software code is constitutionally protected free speech. Apply seems to be conflating intellectual property law concepts with constitutional law concepts. Doing so in this case expands the corporate personhood rights of corporations that write code without any public discussion of the long-term implications of this expansion. It would also open the door to too much statutory lawmaking by trial courts. This is an area that Congress, rather than courts, should address.

This is not to say companies should not have some rights. A company can be an artificial person and be able to enter into contracts with natural people. Companies should have Fourth Amendment protections from searches that are not under a warrant based on probable cause. But expansions of personal rights to companies should not be given lightly. If companies end up having all the personal rights of real people, it will diminish those rights for people. Congress and the courts need to carefully consider the ramifications of declaring code to be speech. Maybe code is better thought of as action which can be regulated (Holmes & Burum, 2015).

Incorrect Use of the All Writs Act

Third, these authors believe that both the New York and California courts did not resolve their cases correctly in terms of the All Writs Act (Turton, 2016). The first three criteria for the application of the All Writs Act were analyzed correctly by both courts. Firstly, there is no statute, law or rule on the books to deal with the issue in a case. Secondly, Apple has a connection to the investigation because it is the manufacturer of the iPhones and the creator of the software that runs the phones. And thirdly, at least in the California case, the amount of carnage and the connection to terrorism created extraordinary circumstances that justified the use of the All Writs Act.

However, people may disagree whether a case involving a drug dealer rises to the level of extraordinary circumstances that would allow for the use of the All Writs Act (Mintz 2, 2016). The problem these authors believe that the two courts encountered was in analyzing the fourth requirement, which is whether requiring Apple to open the iPhone in the case created an unreasonable burden. These two authors’ views, and the view of some others (Chesney & Vladeck, 2016), is that the All Writs Act should be read to authorize the kind of order the government has sought in these cases only when Apple is compelled to help the government utilize existing vulnerabilities in its software, and not when the order directs Apple to devote its resources to creating new software vulnerabilities which can then be exploited by the government. The test needs to focus on the extent to which the underlying vulnerability already exists. Applying this potential solution to the New York and California cases, these authors conclude that both magistrate judges erred on the question of whether the All Writs Act authorizes such relief. Magistrate Judge Pym in the California case of the terrorist shooters ordered Apple to devise new software to unlock the iPhone. There was no existing way for Apple
to open the iPhone running iOS 9. Therefore, the All Writs Act should not apply. Magistrate Judge Orenstein concluded Apple did not have to open the iPhone in the New York case of the drug dealer. This ruling would be incorrect, under these authors' proposal because, in that case, Apple knew of a vulnerability to the iPhone. Since a vulnerability existed, Apple should have had to try to exploit it to open the iPhone running iOS 7. As the vulnerability already existed, it is not an unreasonable burden to use the All Writs Act to force Apple to try to open the device. There was no financial burden to the company because the company’s stores already had the ability to open that operating system. Thus, Apple should not have been ordered to open the cellphone in the California case, but should have been expected to help the FBI in the New York case. The approach of these authors would give the courts guidance that is easy for a court to analyze until Congress reviews the law and provides further guidance.

**Congress is the Appropriate Branch to Update Laws**

Fourth, these authors believe Congress should be the branch of government to update the laws to cover cellphones. Many factors need to be weighed to update the law to cover the new technology age. More tools need to be given to law enforcement if they truly are going dark. How cellphones are used and the types of personal data stored on devices needs to be investigated. The balance between how to provide security to devices while still keeping the United States secure also needs to be analyzed. How much people trust companies and government agencies needs to be explored. These types of inquiries need to involve public hearings. Courts are not designed to do this. Also, the laws covering these cases are too old. The laws do not just need to be reinterpreted, there actually may need to be new laws. As New York Magistrate Judge Orenstein suggested, Congress is the law-making branch and, therefore, must lead this effort (Mintz 2, 2016). The check and balance system of the Constitution is destroyed when courts start to take over Congress’ job of making laws. The courts must show restraint.

**Law Enforcement May Not Be Going Dark**

And fifth, law enforcement may not be going dark. To these authors, the problem is more one of laziness, a lack of in-house expertise, or a lack of imagination on the part of law enforcement. Law enforcement needs to have technology experts within their agencies. Companies will constantly try to stay ahead of hackers and those who would try to do their customers or the company harm. Thus, law enforcement will never be able to stand still. Agencies will constantly have to develop new techniques to gather evidence and catch criminals or terrorists before they can do harm. Law enforcement will need warrants, based on probable cause, to use new techniques. But, after being issued a warrant, law enforcement should be able to use the same type of military and spy tools one sees in movies. As these can be very extreme methods that can collect much data, working under a warrant would be mandatory. If a thumbprint is needed to open a device, a print could be lifted from the display. A 3D printer could make a print. Then the model of the print could be made to discharge electricity just like a real thumb. This conductivity or radio frequency in the 3D print can be detected by the sensor and open a device (Eveleth, 2016). This could be developed for iris recognition, as well (Ackerman, 2013). If an agency needs to bug a home or other location, a mechanical bug (mini drone) could literally be flown into or onto the house (Mikkelson, 2015). The bug could have heat-seeking technology or video and sound capture capabilities. Law
enforcement agencies can go to companies like Apple and ask for all of a person’s data that the person had sent to cloud storage. Backup to the Cloud could be the default position. If Apple could not backup enough data from each customer, the government could provide some tax help so even more cloud storage could be developed by Apple and other cellphone manufacturers to capture more. But all of this may be an unnecessarily high-tech approach. Tunnel vision may be preventing law enforcement investigators from thinking about this as anything other than a computer coding issue. Lower-tech electronic interventions may be able to open even new phones. If so, one only needs to possess the device.

**Conclusion**

Returning to the proposed future scenario from the introduction, law enforcement has the pimp’s phone. They can lift a thumbprint from the criminal’s home with a warrant or maybe even the case of the phone. They could create a 3D image of that thumb to open the phone. They can go to his phone service provider and learn the numbers dialed from that phone and other data. They can go to Apple and see what is stored in iCloud. They could go on the Internet to see if anyone published a paper demonstrating the vulnerability of the chip that could allow it to be hacked. A law enforcement agency could use the courts to issue an All Writs Act to Samsung, for example, to open their chip, assuming they are the manufacturer of the future chip. If there is a known vulnerability to hacking the chip, Samsung would be creating nothing new. If the manufacturer of the chip could hack the chip, then there is access to all information stored on the cellphone. The cellphone could be disassembled to bypass security, and the casing to a cellphone’s processor chip could be physically removed (Lovejoy, 2016). Law enforcement investigators could connect electronic probes capable of reading the cellphone’s unique identification code from where it is fused to the cellphone’s hardware. This method also could be used to read the algorithm that combines the code with the user password. In theory, this could unlock the phone. If the information could be obtained through this method, it could be loaded onto another computer where thousands of attempts could be run to guess the password without being concerned about triggering an auto-erase function after ten wrong attempts (McMillion, 2016).

There will always be an escalating battle between cellphone and chip manufacturers, law enforcement, and Blackhat hackers. Each will always try to stay ahead of the others. Imagination will fuel the escalations of the future. But imagination will always make the battle unwinnable by any one group.

**References**

Ackerman, S. (2013, April 9). Now your iPhone can read fingerprints, scan irises, and id your face. Retrieved from: https://www.wired.com/2013/04/iphone-biometrics/


Lovejoy, B. (2016, February 2). Edward Snowden describes how the FBI could physically extract passcode from iPhone chip without Apple’s help. Retrieved from: https://9to5mac.com/2016/02/22/fbi-iphone-hack-chip-de-capping/


Meishan Middle School: Management Evaluation

Yusong Chen
Central Washington University
Abstract

People-Oriented Management is a new administrative theory for the knowledge based economy of contemporary society that reflects the changes in people’s values and their improved status. Unlike traditional management (rational management), which inhibits and restrains the development of students and teachers. People Oriented Management is a new value system, rather than a set of concrete administrative techniques. It includes all aspects and sectors of an organization and is open to all administrative techniques. Improvement in the quality of education when People-oriented school management is practiced results its new value system and becomes the foundation of a school’s culture. In People-Oriented School Management (POSM) supervisors respect their teachers and staff and listen to them and work with them to find new ways to improve the school and educate the students. This study evaluates traditional management in the case of Meishan middle school using a survey of school staff, teachers, and administrators. At Meishan middle school it was concluded that traditional school administration inhibited and restrained the development of students and teachers in many ways. The institutionalized management, and the excessive emphasis on order and stability of traditional administrative system inhibited individual development and stifled innovation in the classroom. Because the established administrative mode did not value people, it could not help students developed their potential as individuals and it discouraged real innovation by teachers—improvement of existing process is not something new. Its emphasis on command and obedience precluded democratic participation. Based on the results of the survey leadership, faculty and staff have begun to work out a more humanistic approach to effectively addresses these disadvantages of the traditional mode and accelerate the holistic development of students, teachers, and schools.

Introduction

In the early 1980s, Jack Welch, president of General Electric, coined the slogan "At General Electric people are our most important product". Today with the rapid development of science and technology the rest of the world has caught up to GE and the human factor is now most important everywhere. From the perspective of management theory material-based management which emphasizes effectiveness in the pursuit of yield was essential for the product economy of the early industrial revolution. As quality became more important in the commodity economy task-oriented management emphasizing efficiency was even more critical. However, the emerging knowledge economy requires a new approach. People-oriented management theory (humanistic management) with its emphasis on people is now required. The field of school management is no exception. The process of practicing humanistic administration theory correctly is essential to its success. First, respecting and developing students is essential, second, respecting and developing instructors, third, improving and developing the president of the school, and lastly, producing an excellent school-culture.

Rational management as the product of industrialization can be traced back to Frederick Winslow Taylor’s, Principles of Scientific Management and the rise of the economics profession with its assumptions about “economic man”. Following these guidelines rational management in the school centers on material management and economic benefits; teachers are a tool to be used and no importance is attached to
teachers' psychological and spiritual needs. Since the reform of the Chinese education system in the 1980s, schools have generally adopted rational management. Rational management’s basic assumption is that: people are "economic man", and the pursuit of economic interests is human nature while people are also lazy at the same time, and they need to be controlled and induced through mandatory systems and economic interest mechanisms. The main characteristics of rational management mode is that it is based on the work of the organization and places great emphasis on building an effective mechanism, a detailed work plan, strict rules and regulations, a clear division of duties as well as taking a strict system of rewards and punishment and strict discipline. When this management model was applied in the initial stage, it quickly reversed the situation of management that had allowed the school to become undisciplined and disordered, standardized and unified the behavior of teachers and made the school work quickly on the right track.

Yin Shufeng (2007) discussed the drawbacks of the established management model: inability to generate individual initiative, the lack of "human touch", too much confidence in the constraint function of the rules and regulations, failure to motivate teachers' enthusiasm and creativity, and so on. In today's situation where human rights are emphasized and democracy is pursued, strict rules and regulations hinder the freedom of teachers, and limit the space where they can take the initiative to create. Scientific quantitative management and assessment methods make the teacher's labor mechanized and stylized. With the higher degree of centralized management, teachers have been excluded from many school affairs. As a result, the overall planning of the school lacks collective wisdom, and can't provide the initiative to perform for all teachers, at the same time, the teachers also feel less than "master" status, and just passively cope with all the work. In addition, some managers' management skills are relatively simple, lack the art of management, and often are counterproductive, causing more and more dissatisfaction.

In response to these problems Yin Shufeng draws on Abraham Maslow to assert that humanistic management with its people-centered ideas can satisfy the real needs of people and organizations, thereby, promoting the full development of people and institutions.

Research Design
To establish whether or not people-oriented management could provide solutions to management problems at Meishan Middle School a survey was designed find out if the problems that people oriented management addresses existed at the school. There are two separate instruments one for teachers and one for administrators. The principal investigator for the study was Peng Yan and the surveys were Administered Online at Meishan Middle School In 2012.

Findings of the Survey
Data from the survey found that four of the problems predicted by and addressed in people oriented management existed at Meishan: career burnout, poor linkage between performance and promotion, ridged regulations, poor communication and lack of collaboration.
The survey found that 70% of young teachers think that management practices at Meishan middle school make teachers uncomfortable or even bored. Among middle-aged teachers 60% think that heavy workloads restrict teaching and that work hours are inflexible. Finally, 43% of teachers over 50 years old feel worn by the serious lack of flexibility in Meishan’s teaching management. Teacher’s management acceptance at Meishan middle school is too low. Young and middle-aged teachers that entered the teaching profession yearning and longing for meaningful careers say that the strict management system and the lack of a flexibility have dampened their enthusiasm for the work. The result is long, monotonous and troublesome workdays that seriously hampered their enthusiasm, initiative and creativity and led to early burnout.
Promotion Is Not Related To Performance:

The survey results show that 49.3% of middle-aged and young teachers believe that unfairness exists in promotion, title evaluation, level system. Dissatisfaction is even higher reaching 60% among elderly teachers. 40% of middle-level managers agreed that there is a lack of fairness in the teacher promotion policies and 75% of accessed logistics staff think that leaders should increase fairness to improve the management of teachers in the future.

Agreement that opportunities for advancement are unfair and unrelated to the teachers’ ability is widespread. Thus, the young and middle-aged teachers are in the peak of their life and their career, they have some experience, and are in the rising period; elderly teachers have experienced the baptism of teaching for many years and have a rich teaching experience and are a valuable asset for the school. However, traditional management practices deny both young and middle-aged teachers, and elderly teachers the opportunities they deserve.

Rigid Rules and Regulations:

As as shown in Figure 3, 48.3% of respondents believe there is a lack of flexibility in the current rules and regulations while 52.8% of respondents think high maneuverability is available in Meishan middle school teacher management work. Overall, 63.3% of respondents think current implementation and enforcement of regulations in not flexible enough while only 31.1% respondents think that the current management situation is fair and reasonable.
Most of Meishan middle school teachers think the school rules and regulations lack flexibility. First of all, the teacher’s management system is difficult to make most of the teachers endorse; second, middle-level managers and other administrators in the process of the management system execution make many mistakes. By examining the questionnaire survey of Meishan middle school teacher management, the results show that the management way, which is more rigid than flexible, makes many teachers creativity, initiative and enthusiasm suffer a considerable blow, leading to many teachers becoming bored and dissatisfied, and virtually adding many obstacles for the middle school teacher management.

**Poor Communication and Lack of Collaboration:**

As shown in Figure 4, 7% of respondents answered that their leaders are polite. 37.8% of respondents believe the leaders are professional. 33.3% of the respondents think superior leaders advance with times. Only 17.8% of respondents believe leaders often communicate with teachers, solicit opinions from the staff, and care about the life of the staff. Meanwhile, 44.4% of the respondents think leaders have preference on human relations instead of work performance and 27.8% of the respondents think leaders are lazy and inefficient in supervision.

Most teachers consider their school leaders to be polite. However, only a few leaders frequently communicate with teachers. School principals have to spend time and energy on a variety of external communication and social parties, and some even cannot spare any time for attending to teaching affairs. Many teachers have almost never seen principals except at a plenary session, and they don’t have a chance to have a talk with principals. As for a number of new teachers, principals don’t even know their names.
Analysis—Making Sense of Findings

Obsolete management philosophy of school administrators:
Currently, Meishan Middle School management normally focuses upon handling affairs this emphasis on affairs rather than people seriously impedes people’s autonomy at work. In this process the managers ignore the teachers’ personal tendencies and individual demands and focus exclusively on affairs-handling and on serving school protocols. This affair-oriented and instruction-oriented management philosophy is outdated and needs to be supplemented by the understandings emerging from people-oriented management philosophy. From a practical point of view, the current education administration adopts a top-down manner and forces school administrators to follow their superiors, which is more apt to go against the developmental rules of education and thus being easily placed into a bureaucratic misunderstanding. Too much emphasis on the will and needs of the superiors, and on more administrative component management activities prevents managers from showing effective concerns to teachers’ psychological needs.

Rigid School Management System:
Current practices at Meishan result in a rigid management system that cannot effectively adapt to the working environment. Middle school administrators are always
trying to quantify and to refine the various assessment indicators to achieve comprehensive control of teaching/learning. The best example is the result-oriented examination system and the rigidity it produces.

**Strict instructional management leads to teachers’ lack of initiative.** Currently instructional management is widespread at middle schools’ management towards teachers, which heavily involves rules and regulations everywhere. Therefore, teachers’ behaviors in middle schools are under strict controls which stipulate what teachers can do and cannot do. Such management leaves teachers little room for taking initiative in their work, let alone producing creative work and seeking personal development.

**Micro-management limits teachers’ creativity and emphasizes the wrong performance measures.** Various instructional management methods mentioned above set specific regulations as to middle school teachers’ words and deeds, which makes the majority of teachers suffer from formalism. Here formalism means that school administrators do not understand the actual situation of school and the education and teaching ability of the teachers. As a result, they use the scores the students obtained in the exams as the only scale to evaluate teachers and students. Careful analysis of its causes suggests that a variety of quantization and virtual management modes over-emphasize the relationship between the external manifestations of the teachers and rewards or punishments, and do not realize the characteristics and rules of teachers' work. At Meishan Middle School, for example, school administrators, based on objectives of certain stages of the school’s development, carry out specific and detailed provisions of management systems, and even every aspect of the evaluation system, and unify the teachers' work performance and its standards. All these have seriously hurt the enthusiasm and initiative of teachers.

**Negligence of individual goals and values of teachers during teachers’ management.** For example, teachers' management at Meishan Middle School, excessively pursues the realization of various goals of the school, leading to a lack of recognition of teachers' personal values and goals, and a lack of humane care of individual teachers. In the process of teachers’ management, a variety of teaching tasks are often assigned to teachers in the name of task management for the purpose of seeking to achieve the objectives of the school. Thereby it results in the inability to effectively satisfy the various self-appeals of school teachers, and a sharp reduction of their enthusiasm or interest in work. This phenomenon also, to some extent, brings about a serious lack of effectiveness of school management, which ultimately will prevent the school organization from successfully attaining their goals.

A thorough analysis of the reasons, shows it is mainly due to the fact that school administrators are not able to effectively stimulate individual teacher's work initiative.

Currently school administrators, in the management process, consider teachers as tools and means to accomplish tasks. They fail to fully take into account the fact that teachers, as individuals in society, are not only interested in material wealth and social status, but also are keen to get warm, friendly and emotional care. People-oriented management is concerned not only about the rational and systematic management of organizations, but also the irrational emotional communication among organization members.
In a school, only effective emotional communication can produce a strong emotional resonance among members of the organization, and can help the organization to have a strong sense of belonging and attachment. All of these can promote the achievement of the goals of the organization.

**Recommendations: Application of People-Oriented School Administration**

**Establishing correct ideas:**

It is fundamental to establish people oriented ideas in administration. All administrating systems and behaviors are products of ideas of administrators. School leaders and teachers should take actions from the following two aspects to establish people oriented ideas in administration.

The first is to understand comprehensively people oriented ideas in administration. As there is a lack of full understanding of people oriented administration, school leaders and teachers should grasp the essence and manifestation of people oriented ideas in administration so as to establish correct ideas. When doing this, we should not only care for and rely on people, but also respect and develop them. We should also know the contents and requirements.

The other aspect is to strengthen communication and cooperation in administration between leaders and teachers. There may be disagreement between school leaders and teachers in their understanding of people oriented administration, so it is necessary to strengthen communication and cooperation. There is extensive communication in school administration. It has many different functions that are helpful and significant for administration. As for the attitudes toward school administration system, we should not only pay attention to different situations of teachers and students and take appropriate actions, but also guarantee the authority of our regulations and make sure that they are obeyed. Schools should also try their best to satisfy the needs of teachers and students.

**Improvement of Regulations:**

If the regulations are not written down or have flaws, administrative crises may develop. It will do harm to the administrative order and the welfare of school members. Regulations that are not written may cause corruption and do harm to the cause of education and the benefit of school members. We could not seriously consider people oriented administration if there are no written regulations. We need to establish a good administrative system in order to practice people oriented administration.

**Exploration in Practice.** Administrative practice is a creative and explorative activity. To motivate the wisdom of administrators is the key to successful administration. I have the following suggestions:

**To improve the overall quality and administrative ability of school leaders and teachers.** Managerial functions and roles of school administrators must change in order to demonstrate the people-oriented awareness. The famous American management expert Peter Senge pointed out in *The Fifth Discipline* that “Leaders serve as designers, servants and teachers in the learning organization”. New leaders are more concerned with “establishing an organization which enables other people to constantly understand complexity, clarify vision and enhance their ability of common mental models, meaning that leaders should take responsibility of the learning of this kind of organization. In school management, whether they are school leaders or
teachers, their management roles can be described as “designers”, “servants” and “teachers”. They design schools’ policies, statics and systems on the different management levels, and they are also loyal to their visions, helping members to nurture their capacity of gaining an insight into school's system. This kind of shift in managerial functions and roles is a management innovation, reflecting the people-oriented connotation. And this kind of innovation requires both school leaders and teachers are equipped with higher overall quality and administrative ability.

**Set up a system for participation to allow teachers and students to take part in administration.** Participation in management, indeed, is to allow subordinates to share superiors’ decision-making power. So, who can participate in decision-making? Robert.G. Owens (2001) deems that participatory decision-making is an interaction among administrative staff, teachers, students, and (or) community members, which means that administrative staff, teachers, students and community members can all participate in decision-making. Teachers and students are the main body in school management, so they are supposed to take part in all the decisions which are related to their interests and other management activities.

**Set up a system of motivation, and get teachers and students actively involved.** A key task of modern management is to fully motivate managers and general staffs’ enthusiasm for work, that is, encourage the members in organization. The need of these members affects their attitudes and behaviors. Therefore, if we want to encourage members, we need to focus on the various needs of members. There is a common notion in various incentive theories, that is, satisfying human being’s need can achieve the effect of encouragement. In school management, if managers want to achieve the goal of promoting organizational development and personal advancement, it is necessary to fully mobilize the enthusiasm of school members. And motivating members needs the establishment of motivation system.

**Conclusion and Implications**

Although for many years people-oriented management has been widely used in enterprises and organizational management at different levels, has obtained remarkable results, and is widely admired by people in both theory and practice, it is also true that every organization has its own characteristics and features, so in practice there are still many difficulties and problems to implementing people-oriented management. In terms of middle schools in our country, to carry out people-oriented management, the problems and difficulties they face are more prominent. On the one hand, because of our traditional education administration system, school management autonomy were strictly controlled, which is more evident in public schools. Although education reform and quality education have been performed for many years and have attracted widespread attention, under the pressure of increasing the enrollment rate, the schools’ managerial autonomy has obviously been greatly limited. For seeking high school enrollment rate, the teachers will be anxious to achieve quick success and get instant benefits and have a great esteem for the administrative management and rigid management which can help them achieve their the expected goals. As a result, people-oriented management is intentionally or unintentionally overlooked. At present, on the other hand, school leaders and managers and ordinary staff are affected by traditional management ideas, so there are significant limitations in terms of the understanding of the connotation and characteristics of people-oriented management.
The specific performance is that the level of awareness is low and the point of view is very biased. This situation is obviously difficult to promote the school management to be real people-oriented management. However, people-oriented management and traditional management are not completely contradictory, and can aid in reinforcing each other. Also, by necessity there must be a period of transition from one management mode to the other, so as to not make too quick or radical a change. It can be said, only in this orderly management environment can we realize people-oriented management.

In this paper, with the help of interviews and questionnaire surveys, we obtained a certain amount of understanding of the management status and problems of Meishan middle school as a typical case-example, and so the author put forward some suggestions and countermeasures from the point of view of people-oriented management to improve matters. Clearly, making these strides will not be an easy task and there will be room for improving the reforms themselves.

Finally, the author believes that people-oriented management will be widely applied to school management with the continuous progress of education reform in our country. So people-oriented management has a broad prospect in school teachers' management, and it will be the future development direction for the management of teachers, playing an important role in achieving school education reform and development and steadily improving school education quality.
Calculating Human Survival: The Role of the Social Sciences in Developing Effective Climate Action

by

Robert M. Christie, PhD
Emeritus Professor of Sociology
California State University, Dominguez Hills
We need not turn to the elections of 2016 to observe the madness of public discourse and corporate-governmental responses to the accelerating climate crisis. In electoral politics, at least, we expect duplicity, dissembling, and demagoguery as common ways to stimulate and manipulate fear in voters. It is much easier to run up fearful images of Muslim terrorists, rapist immigrants, and even evil politicians than to explain difficult issues to voters. Try to explain to your neighbor the complexities of climate disruption or the failing neoclassical economic model of perpetual economic growth that drives it. The ranking of climate collapse in the hierarchy of public concerns is not nearly as high as the probability of consequent societal chaos.

Yet, there it is. The evidence of global warming and its accelerating impacts is both definitive and available to those who are willing to look. Plenty of public analyses, whether by James Hansen, Bill McKibben, Naomi Klein, or by the Intergovernmental Panel on Climate Change (IPCC), point to the urgent necessity to keep fossil fuels in the ground. But how can we accomplish that, and what will doing so mean for how we live our lives? Moreover, what do the social sciences have to say about this rapidly developing global societal crisis of unprecedented proportion and severity?

The “Greening” of Business-as-Usual

U.S. industrial culture assumes that technological innovation can solve any problem. If we divest all financial assets from coal, oil, and gas, how would we heat our homes and get to work or vacation? The economic culture assumes that new technologies and new materials substitutions will always result from industrial innovation to solve any problem. However, it is far from that simple.

Popular New York Times columnist Thomas L. Friedman finds comfortable answers to all sorts of disturbing problems from Israeli-Palestinian relations to maintaining the U.S. status as the only post-cold-war “super-power.” His simple solution to global warming is the “greening” of business-as-usual. Simply replace dirty energy with renewable “clean” energy sources, including nuclear power, to sustain U.S. economic growth and international domination.1

Sound a bit fuzzy? Well, it is. Not to worry, “help is on the way.” Bill Gates has organized what I prefer to call “Bill’s Billionaire Boys Club,” to rescue the planet by investing in the creation of a new “energy miracle” to provide clean energy to a world demanding more and more energy. The “more and more” part is beyond question; it is a key assumption of the prevalent neoclassical economic illusion. That illusion is a given in the economic culture. Gates is blind to its counterproductive implications.

Gates’ group of billionaire entrepreneurial philanthropists, which he calls the “Breakthrough Energy Coalition,”2 would invest their billions in new high tech energy production systems, to be subsidized by the ancillary “Mission Innovation”3 group of the 20 richest nations, formed to support his program. Gates’ strategy represents the epitome of the business-as-usual economic-growth model of human progress. As the planet burns, the corporate state lives on... for now.

The influence of Gates’ billionaires and industry as a whole at the COP 21 United Nations climate change conference of the winter of 2015-2016, was profound. For the first time, the gathered leaders of most nations of the world made non-binding commitments to limit global warming to 2 degrees Centigrade above pre-industrial levels. With accelerating observed impacts of climate destabilization, scientists already
agree that major devastation would accompany a 2-degree increase in average global temperature. They also agree that 1.5 degrees should be the limit if we are to manage the impacts of global warming without widespread devastating effects.

However, the actual plans of the nations as submitted so far would result in an increase in global temperature closer to 3.5 degrees – catastrophic for human populations. Neither corporate nor government elites offer any viable solution or recourse. Their half-baked futuristic “solutions” constitute a deeper denial of the scientific facts of climate destabilization.

The Failures of Political Economy to Face Global Reality

It is now quite clear that yet to be developed high tech-energy production “solutions” in the context of business-as-usual and continued economic growth cannot constrain global temperatures and the devastating effects of consequent climate chaos. Like the hubris of geo-engineering (and the industrial era itself), their unintended consequences are unpredictable and their pursuit will likely lead to disaster. New technological innovations are already too little, too costly, and most importantly, too late. Instead, we must apply existing appropriately scaled technologies to incorporate into communities reorganized to be locally self-sustaining and ecologically neutral or restorative. (That, of course, would be too boring and too unprofitable for the likes of Bill Gates.)

It is also clear that neither the national or state governments, nor the corporations that drive carbon emissions are capable of curtailing those emissions on their own. Nor will the paltry carbon-emissions reductions they contemplate be adequate or implemented fast enough to avoid the collapse of societies that will inevitably accompany climate collapse. They still fail to provide their insufficient goals with viable means to accomplish them.

Local social transformations are the most energy efficient way to achieve ecological communities to constrain global carbon emissions most quickly. Only social movements arising from civil society can overcome the intransigence of the corporate state. Time is clearly of the essence. The global system of economic growth and financialization will collapse under its own weight within two or three decades. However, if it does so because of the dislocations and disruptions caused by climate destabilization, the effects on humans as well as other living earth systems will be catastrophic.

Peoples all over the world have relied for centuries on stable weather patterns to produce the food and basic subsistence products they need to survive. The industrialized nations must take rapid and massive actions now to curtail emissions of carbon, and the non-industrial nations must prevent themselves from going down the carbon-intensive path to development.

Such actions must also compensate for the positive feedback mechanisms that now accelerate global temperature rise because of ice melt, methane release from tundra, and several others. Scientists are just now beginning to incorporate these self-amplifying features of global warming into their modeling of climate change. Humanity as a whole is way behind the dynamics of accelerating climate destabilization. Whether we can stop it from spinning completely out of control is highly speculative. One thing we can be certain of, however, is that humanity is in for a new Great Transformation, unlike any heretofore experienced.

55
Where do we turn to find answers to the question of how to re-organize global and local economies to align them with the ecological requirements of re-establishing climate stability? This, of course, is a social science question, a very big one.

Where are the Social Sciences?

What does economics offer? The neo-classical economics that constitutes the ideological cover for extractive capital is, of course, no help at all. The entire global economy rests on the assumption of necessary, inevitable and endless economic growth – the core cause of climate chaos. Some “outlier” economists have made valuable contributions to understanding the need to move from an economy of earth-plunder to an ecological economy. They argue for an “end to growth,” which we certainly need. That argument is not new, but it has gained little traction in the extractive economies of endless growth.

Nevertheless, we must ask, how do we get there from here? And, how will we live in a no-growth economy? What would it actually look like? Based on decades of experience in the field of global economic development, David C. Korten argues for a “new economy,” constructed in harmony with the living earth systems upon which we depend for survival. To achieve it we have to “change the story to change the future.” But, how can we change the story that dominates the culture when the corporate mass media controls the public discourse, such as it is?

What does political science offer? Sheldon S. Wolin provides what may be the most important assessment of the political economy of the corporate state in his book, Democracy, Incorporated. He reveals the operations of elite-managed pseudo-democracy and its limits, and argues that a popular democracy must recognize the common interests that lead to viable public policy. Wolin argues for the rise of a democratic “counter-elite” that exists to some extent in NGOs and would seek local solutions and encourage local population to “take responsibility for their own well-being,” (p. 291) to counter the contemporary version of the “enclosure” of the commons. It is precisely the struggle between exploitation and commonality that is at stake. (p. 292)

But how are the global forces of exploitation and extraction to be overcome when the political discourse is dominated by the dumbed-down mentality of Trump’s Tropes?

We might describe Chris Hedges and Naomi Klein as journalists with sociological tendencies. But, they are much more than that. Hedges’ deep theological training steeped in western intellectual history, combined with his extensive experience as a New York Times foreign correspondent covering wars from Serbia to Guatemala, gave him a rich sociological perspective with a profound moral edge, reflected in his several books, including Death of the Liberal Class and Empire of Illusion. His insights on the American Empire and the failure of democracy and the liberal project reflect not just a deep respect for Wolin’s understanding of inverted totalitarianism but his own direct experience of the devastation wrought by that empire.

In his recent book, Wages of Rebellion: The Moral Imperative of Revolt, Hedges argues that resistance is not carried out for its success, but because it is a moral imperative. He reviews diverse rebellions such as the movement to abolish South African apartheid and the fracking protests in Alberta, Canada, in his call for a new American revolution.

Hedges often says, “I fight fascism not because I will win, but because it is fascism.” That is a moral imperative. Again, we must distinguish calls for change from
how to achieve social transformation. Hedges’ call is deeply political and fundamentally moral, but has not grasped the even deeper elements required for social transformation. Political revolution, however righteously conceived, is not the same as social transformation.

Naomi Klein’s *The Shock Doctrine* had a similar impact on perceptions of the self-righteousness of American Empire, as did John Perkins’ *Confessions of an Economic Hit Man*. Klein’s work as a journalist is distinctly sociological and draws heavily on the social sciences in explaining the role of the corporate state in our current dilemma. She detailed the complex machinations of corporations and government in assuring the subservience of various nations to the American Empire. Perkins gave a complementary insider’s view of the dirty little secrets and clandestine operations of twentieth century American Empire in economically colonizing subject nations. Despite their sociological insights, neither is a social scientist.

However, Naomi Klein’s *This Changes Everything: Capitalism versus the Climate* may be the definitive contemporary work on the scope and political urgency of both the climate crisis and climate action. Even so, Klein relies heavily on traditional means for political action at the national level – the same kinds of resistance movements Hedges discusses – while acknowledging the importance of growing global social movements of directly affected indigenous groups for climate justice. Despite my admiration of her work, the scope and the scale of social transformation necessary to achieve an ecological society remains underdeveloped in her discussion of political change. The need for change is ubiquitous and comprehensive. Traditional forms of political resistance will not give the Next Great Social Transformation the qualities now essential for human survival.

In search of research findings relevant to social movements and climate change, global warming, and related topics, I turned to the American Sociological Association (ASA) website and its journals. First, searching the *American Sociological Review*, the flagship journal of the ASA, I found a variety of articles in the last several years related to social movements and their internal workings and contexts that affect direction and strategy.

The ASA Task Force on Sociology and Global Climate Change has produced a collection of essays challenging the standard climate change discourse. Its essays argue for the need to incorporate sociological understandings of the social changes inherent in a massive transformation of the role of energy in society.

The book is a valuable resource for anyone looking into the sociological implications of climate change. Yet, it is barely a beginning. An inherent limitation of social research is that it typically studies various interactions and organizations that exist rather than emerging or future forms. Modern sociology is neither prophetic nor particularly predictive. Most of the work remains to be done and done quickly, which is not typical of academic work.

**Prospects for the Next Great Transformation**

I have based this paper on the heavily evidenced assumptions that 1) an unprecedented Next Great Transformation of humanity is inevitable in the near future, forced by climate destabilization and by the imminent collapse of the global economy of extractive capital, and 2) that Great Transformation will inevitably entail one of two outcomes.
The first possible outcome of the imminent *Next Great Transformation* is total *societal collapse* involving political, economic, and social chaos, massive migration and widespread violence in the struggle for insufficient remaining resources, and likely extinction of the human species. Global supply chains for industrial consumer products, no less basic materials for subsistence, will collapse. In this case, we will have passed the tipping point where re-stabilization of the climate and ecological systems is no longer possible. If we reach that point, the world will be a very different place, highly incompatible with human survival. Species extinction is the most probable outcome of this scenario. Human ingenuity might allow small groups to survive here and there, unless climate destabilization is so severe that it causes complete extinction.

The second possible outcome of the *Next Great Transformation* has less certainty but some hope. If that social transformation entails comprehensive adaptation of social organization to align surviving human groups with their local ecologies — the only viable way to achieve adequate mitigation of carbon emissions and their negative feedbacks already inevitable — then it could lead to scaled down but relatively harmonious relations of humanity with our environment. Massive social transformation is the only viable strategy for stabilizing climate and ecological resources. A viable strategy would have to reduce carbon emissions to near zero in the near term to limit global temperature increase to no more than 1.5 degrees Centigrade. That would be a huge undertaking with immense transformative implications for social organization both global and local.

We can only accomplish that reorganization by *radically changing* the ways humans interact with each other and with the environment. Such changes will offer the only path to human survival, and, if comprehensive and effective, to a greater human prospect than ever before achieved. Such an achievement will be possible only by abandoning the global industrial growth economy and replacing it with local ecological economies that produce primarily for local consumption.

It is fairly certain that no matter how well we mitigate global warming and adapt to climate destabilization, significant social dislocations and suffering will occur. The great test of humanity will call for a level of human cooperation never seen since the days of small bands of hunter-gatherers. This does not mean that we must limit our technology to spears and arrows.

It does mean that we must finally admit to the necessity of “appropriate technology,” originally advocated by E.F. Schumacher in his book, *Small is Beautiful*, way back in 1973. That also means we must organize our lives around the necessities and ethical implications of living in the real world. We must honor the nature of our own place in Nature and shape ethical lives around the requirements of harmonizing freedom with necessity. That means we must not merely do whatever is possible to turn a profit, but that we must only use the means (technology) that lead to ethical and ecologically viable ends. Only then can we fully realize human creativity and innovation.

Schumacher argued that modern industrial economies are unsustainable; he offered appropriate technologies as the means for developing nations to attain economic sufficiency by empowering people rather than submitting them to the dominant economic illusion that “bigger is better.” He proposed that we replace technological cleverness with wisdom. The calculation of human survival requires massive social transformation from market economics to ecological society.
This lesson has been lost upon the giant extractive-capital driven market economies of the global north. Applying its implications to create a new great transformation of human economies to achieve viable societies within ecological systems will be essential to human survival in the coming decades. Contemporary social science has contributed little to this essential task of humanity. Climate science and policy remain locked within the individualistic model of human behavior promoted by neoliberal economics. Yet serious climate action will require massive transformation of social institutions and life ways. Schumacher provides a model for how social science needs to conduct its work today. Most of that work remains not yet done in the narrowing window of opportunity we have left.

2 The pitch of Gates’ group of billionaires for a finance-capital driven, government-funded program to develop and deploy new high-tech energy production technologies may be found at http://www.breakthroughenergycoalition.com/en/index.html. The group includes most of the luminaries of the super-rich, including Jeff Bezos (Amazon), Richard Branson (Virgin Group), Meg Whitman (HP), Mark Zuckerberg (Facebook), along with various hedge fund billionaires, Saudi princes, and international Businessmen.
3 The “Mission Innovation” group of 20 of the richest nations describes its intentions to collaborate with the Gates group — the “Breakthrough energy Coalition” at http://mission-innovation.net/.
4 With considerable prescience, economic historian Karl Polanyi wrote *The Great Transformation* in 1944 (Boston: Beacon Press, 2001, Forward by Joseph E. Stiglitz and Introduction by Fred Block), which delineated diverse consequences of the industrial revolution and explored the likely impacts of unfettered extractive capital. Subsequent history has validated his warnings. Yet what I have been calling The Next Great Transformation will be far more consequential for the survival of the human species as well as for the stability of all living earth systems.
Connecting Process and Structure for Student Centered Distance Learning

Dr. Glenn H. Dakin Ed. D.
American Intercontinental University
Abstract
Life-long learning is a process. Learning skill ability is common to all as well as individually unique. A learner’s beliefs are constantly susceptible to conditioning from external expectations. A discussion reflects on techniques for strengthening distance-learning skills in this technological age.

Distance Learning, Process, and Structure
Online Internet distance learning requires due diligence as the students should engage with a process for responsible learning. Distance learning requires self-regulation for planning the learning process through structured practices. Learning practices often become habitual practices with assumptions based on prior learning experience. Distance learning requires a self-cognitive approach for practice. How a student views learning is vitally important to the benefit of the convenience of learning online. When processes for learning are viewed as structured prioritized methods, distance learning students can revise learning skills to improve productivity and successful learning. How these processes are viewed and understood is vital to the distance learning student outcome for life-long learning.

Locus of Control and Learning Skills
Loci of control characteristics have significant influence on learning outcomes. According to Kutanlıs, Mescl, and Övdür (2011) “Internal or external locus of control plays an important role for students to sustain the efficacy and usefulness of learning performance” (p. 114). External locus of control and internal locus of control are opposing constructs at each end of a continuum. Loci of control concepts provide a theory to explain how an individual’s beliefs affect attitudes of his or her capability for controlling life events (Strauser, Ketz, & Keim, 2002). Every individual possesses attributes that reflect the precepts of locus of control theory. Locus of control can significantly influence an individual’s approach towards how they learn. Learning is a process of growth reflected in the determination of change in performance. Driscoll (2005) explains, “Learning is a persistant change in performance or performance potential that results from experience and interaction with the world” (p. 1). Understanding that learning how to learn is an applied skill is a vital metacognitive approach for individuals. How we learn is vastly more important that what we learn.

Individuals influenced by external locus of control may relate events, situational circumstances, successes, and failures to factors not under their control. The individual will justify the outcome of a situation due to the influence of the event (Kutanlıs, Mescl & Övdür, 2011). Individuals that demonstrate external locus of control traits may consider changing learning habits frivolous or dangerous. The individual succumbs to the belief that events have control of their lives. They may resist behavioral change using external events to justify their actions (Kutanlıs, Mescl, & Övdür, 2011). Educational classroom experiences can negatively influence an individual’s learning skills resulting in inept beliefs about their learning capabilities.

Individuals influenced by internal locus of control characteristics believe they can control their life despite external events. They believe they are responsible for outcomes. They demonstrate a strong belief in their abilities to manage learning processes regardless of external events. They are not suspicious of change since they feel responsible for their own actions (Kutanlıs, Mescl & Övdür, 2011). Learners
exhibiting strong internal locus of control characteristics reflect self-regulation characteristics in the demonstration of learning skills. Self-regulated learners revise learning skills through experience. How results are reached is more important than just reaching the goal. The metacognitive abilities of the individual are strengthened through self-reflection.

Learners unaware of locus of control factors may be uninformed of the effect on learning. Therefore, they may become complacent with how they learn and take their current learning processes for granted. For example, an online distance learner may assume that using the same approach for all online courses will return similar results of an exceptional grade. The individual defaults to using the same tactic in all subsequent online courses because they may assume that the results should be the same. However, learning habits are formed through experience over time. The learner must learn to change the process to improve the result. Changing the process requires reviewing formative feedback to revise the original process. How we learn to learn is demonstrated in the ability to manage and strengthen learning habits. Learning from experience is a valuable asset contributing to a continuous desire for growth at any age. Learning from experience requires revising the procedures used to obtain a different result. Dewey (1997) advocates learning through experience, as every current experience is action affecting future experiences.

**The Belief System and Learning Expectations**

The self-fulfilling prophecy coined the Pygmalion effect is a psychological concept that has influence on learners educational practice with positive or negative effects on student beliefs and therefore, performance. Self-confidence and efficacy are vital components of a student’s belief system. Field (1989) posited, “Self-Altering Prophecies are expectations by a source person that when communicated lead to behaviours of a target person that would not have occurred had the prophecy not been made” (151). Students form expectations conditioned from past educational experiences that have significant influence on self-esteem and beliefs about their learning skill abilities. Prior learning experiences have a powerful influence on efficacy. Instructional practitioners should possess an awareness of the self-fulfilling prophecy, as formative feedback provided to students must focus on the approach used to complete the content and not on correction. Providing realistic formative feedback to students that is focused on the revision of process is essential for positive student motivation. Instructional practices that only target correction do not strengthen the student learning processes. The focus of corrective practices targets the result and not the process for how the result was reached. Targeting only correction can negatively affect learner efficacy and confidence.

Similar to the self-fulfilling prophecy is the self-defeating prophecy. The two approaches are elements of the four Self-Altering Prophecies. The self-defeating prophecy from an optimistic approach effects with suppression while the self-fulfilling prophecy from the pessimistic approach reflects confirmed failure belief (Field, 1989, p. 152). Learners conditioned through classroom experiences to believe that they are not good at a skill will demonstrate the failure as their belief about their capability is realized in the learning process results. Friedrich et al (2014) posits, “Pygmalion effects have high scientific and practical relevance due to their potentially positive or negative effects on important student outcomes” (p. 1).
Internet Distance Instructional Strategy

Student learning expectations influence student learning outcomes. Instructors are considered subject matter experts and therefore students place value on instructor opinions. Awareness for how communication occurs is a significant factor influencing a student’s belief system. How the student interprets the instructor’s communication may have influence on self-talk. Therefore, the instructor must guide the student’s understanding of formative feedback to avoid the student reacting judgmentally. Learning skill growth and real life experience motivate learners to self-direction (Gordon, 2004). Self-talk is an active component of emotional intelligence influenced through the affective domain. Depape et al. (2006) purports “Self-talk has been discussed in literature as a means of enhancing self-awareness and self-regulation, both of which are considered important in the construct of emotional intelligence” (p. 250). Self-actualization is an integral component of emotional intelligence demonstrated in self-regulation. Self-regulation in learning is a fundamental construct involving the learner’s ability to establish a structured process for learning. The strengthening of metacognition is one of the benefits of developing self-regulation learning skill. Self-regulated learners “Set goals for their learning and then attempt to monitor, regulate, and control their cognition, motivation, and behavior, guided and constrained by their goals and the contextual features of the environment” (Pintrich, 2000, p. 453 as cited in Driscoll, 2005).

Constructive Internet based distance learning requires self-regulation. Questions that distance learners should be asking themselves include why online, how online, what online, and where online. Too often, the enticement for entering into a distance learning endeavor is motivated by reaching a learning goal believed to be easier because it is convenient. The good intent is the desire to receive a degree encouraged by a financial gain expectation. The degree path is an external process often tied to employer or federal financial support. Therefore, learners often engage with passive learning habits focused on what works best to obtain the best grade versus how learning skills can be strengthened to earn the best grade. Instructors must target student reality to reinforce a student’s development of internal expectations. A student’s reality is a valid belief in the moment. Creating teachable moments for distance learners requires an instructor to engage the student with positive motivation by providing guidance for improving how the distance learner can succeed in learning the discipline through earning the grade. Students should be viewed as the product of the educational process and not consumer of the process. The customer of an educational institution is the employer that will hire the graduate.

Focusing on learning skill objectives for comprehensive reading and writing vary requiring different approaches as the online instructor does not have the physical presence of the student for assessment of learning. Therefore, instructional activities designed with only instructor expectations targeting grades can have detrimental effects on the student learning beliefs. Traditional educational strategy focuses on the presentation of content. Instructors are often invested in delivery of the content resulting in students becoming passive receivers of content and not active users of content.

The sage on the stage is a traditional instructional practice that has become outdated. According to King (1993),
The sage on the stage instructional approach involves the one who has the knowledge and transmits that knowledge to the students, who simply memorize the information and later reproduce it on an exam—often without even thinking about it. This model of the teaching-learning process, called the transmittal model, assumes that the student’s brain is like an empty container into which the professor pours knowledge. (p. 1)

Distance learning involves the assessment of individual written deliverables. Distance learners may be motivated by a false sense of security as the assumption of convenience outweighs the process. Perceptions of grading are used by the learner to assume the learning objectives have been reached satisfactorily. The grading process becomes an extrinsic motivational conditioning. Students learn early through experience that grades matter. Extrinsic reward conditioning does not strengthen the individuals learning habits. Rewards are in the moment satisfying instant gratification or reinforcing external dissatisfaction with the instructional process. Schaps and Lewis (n.d.) stated, “Extrinsic rewards are not needed to stimulate student engagement and perseverance. Rather, we find that rewards may indeed undermine intrinsic motivation” (p. 81). Formal testing, often only summative, contrasts comparative percentiles to determine successful learning. However, actual learning is not assessed. Conditioning of students passively results in students not actively participating with subject content experience. Instead, learners are more often engaged with test taking experiences versus an active demonstration of performance to reflect learned knowledge.

Sage on the stage traditional approaches to instruction place the instructor as the central figure in the place of teaching. Students are considered recipients of content delivery. Instructors, performing as subject matter experts, provide students with content presentations where the student is responsible for clarification of the content. Students are required to meet standards regardless of their learning skill awareness. The focus is on the correctness of the content and not the process of learning how the content should be applied. In addition, how the student intends to use the knowledge in the real world is assumed versus discussed. The sage on the stage instructors loses the opportunity to stimulate the student’s creative tension for revision of learning skills. Often, the preference of learning is referred to as learning style. Instructors often use the term learning style to describe how a student is learning. Describing how a student learns using the term learning style does not target learning skills. Learning skills are common to all and yet unique to each individual according to their differing strengths of modality. According to research on the subject of learning styles completed by Pashler, McDaniel, Rohrer, and Bjork, (2009) “We conclude therefore, that at present, there is no adequate evidence base to justify incorporating learning styles assessments into general educational prac
tice” (p. 105). Learning styles is a pervasive term used by many to define an individual’s preferred learning habits. The term has been a common means to describe how an individual learns for several years. However, the term learning styles is not actually relevant. According to research completed by Marshik (2015), the selection of auditory, kinesthetic, or visual modality to learn does not enhance learning skills. Research has shown that learning outcomes are the same regardless of how content is received.

An alternative instructional strategy is the guide on the side. The guide on the side approach involves using instructional activities that motivate student interaction
through stimulating student interest. The guide on the side instructor still presents course material. However, the student centered learning interaction is the target (King, 1993). By targeting the student’s learning skills, the instructor engages the student with formative interaction to understand how the student is using their learning skills. The process behind the student’s result is more important than the correctness of the result. Student reflection is continually stimulated through engagement with critical thinking. Students are motivated to become active participants in the instructional practice. Instructors perform as guides with suggestions and questions motivating the student to question self-thinking and actions. Learning skills are discussed with individual students by the instructor to integrate subject content. Students are encouraged to revise learning structures to develop consistency of habit. By developing their effectiveness as learners, students can be empowered to take responsibility for their own learning by understanding how they learn best and the skills necessary to learn in regions that are uncomfortable for them (Keeton, Sheckley, & Griggs, 2002). Managing learning time, improving reading comprehension, cultivating scholarly writing skill, strengthening critical thinking skills, revising self-regulation, and refining active listening are direct benefits from the guide on the side instructional strategy.

The guide on the side instructional strategy advocates using formative assessment. Formative assessment is ongoing and not a summative evaluation of the student deliverables. Formative assessment is in process feedback returned to students, which should be viewed as learning opportunities and not judgements. How a student learns to learn has significant influence on the benefits of the educational journey. Students reviewing formative guidance targeting learning skills should be guided to learn to review feedback objectively to revise practices. Stiggins (1999) stated, “Wise teachers use the classroom assessment process as an instructional intervention to teach the lesson that failure is acceptable at first, but that it cannot continue. Improvement must follow” (p. 196).

Good online teaching strategy employs Socratic Dialogue as an instructional activity. Using the Socratic Method engages students with examples of probing questions to stimulate deeper thinking (Paul & Elder, 2007). Questioning is not used to solicit specific answers but rather reinforce understanding. Open ended questioning stimulates recall and builds new paths of association in the brain with present knowledge revised through social negotiation. Boghossian, (2006) posits, concerning constructivist learning, “The purpose of the Socratic Method is give participants a way to arrive at their truth, and the Socratic teacher attempts to guide students to their understanding” (p. 719). The guide on the side strategy encompasses an individual supportive role versus a corrective approach driven by grade expectation. Suggestions on how a student could review learning skills provide opportunity for the student to revise skills improving learning outcomes.

**Passive Learning versus Active Learning**

Learners participating in classroom instruction with the assumption that listening, reading, and taking tests are means that provide the most effective learning strategy reflect passive learning. Learners are not actively using the content. Students may spend significant amounts of time reading texts to understand the writers experience and concepts. They are investing time in attempting to understand the subject matter expert’s opinion. Distance learners that clarify course requirements instructions and
then scan the subject matter expert’s content to research what is relevant for the course requirements are using the content. Learners that use the content are invested in their experience with the content. Providing students with prioritized steps of a process for strengthening learning skills is an excellent instructional strategy of the guide on the side approach.

Students guided towards following a structured process of prioritized steps can improve learning processes. Guiding students to understand that revision of learning skills results in improved learning outcomes enhances their confidence and self-efficacy. Distance learners must engage with self-regulation learning practices. Prioritized learning processes are effective practices, which result in a learner strengthening learning skills to the individual’s level of investment. For distance learners invested in a convenience expectation, the outcome of improved learning habits reflects of effective time management producing better learning results in a shorter time.

SQ3R comprehensive reading, scholarly writing, and time management processes are excellent prioritize learning skill enhancements.

The SQ3R comprehensive reading method is a prioritized process for effective clarification of content. SQ3R is an acronym for scan, question, read, recite, and review.

1. S – Survey - Scan the entire text to understand how the text is organized. Review chapter titles, headings, graphics, charts, and summaries.
2. Q – Question - Record questions about the content to motivate your thinking. Write the questions while scanning the assigned chapters.
3. R – Read - Read what is relevant to the current assignment first. Then read around the relevant content to expand understanding. Answer your questions as you read.
4. R – Recite - Pause after each reading to recite aloud what was just read. Hearing the self-repeat the relevant content strengthens brain association of content strengthening learning.
5. R – Review - Now review what was read from the beginning as this refocuses the thoughts on the big picture for how this content will relate to the current learning objective.

The scholarly writing process is prioritized with research steps.

1. Create a writing template - construct a functional essay writing template with blank headings, dates, page numbers, title page, and reference page.
2. Assignment review - clarify the main topic from reviewing the assignment details.
3. Create heading - using the assignment instructions create headings for each section.
4. Research the first heading - search the course text or online sources to highlight relative content, book mark relative pages, or create a bibliography of supportive sources.
5. Begin writing - after the headings have been created in the manuscript, begin writing the response for the first heading.
6. Quote, cite, and reference as you write - construct citations and references as resource content is quoted or paraphrased supporting your original content.
Guiding students to engage with structured prioritized processes for strengthening learning skills empowers the student to enhance brain based learning.

Brain based learning processes such as schema and information processing theory suggest that the brain is not made to receive vast amounts of information in short or impromptu sessions. Short sittings or excessive amounts of concentrated time attempting to understand knowledge overwhelms the learner’s cognitive processes. Learners may be required to review the material repeatedly attempting to understand. Instead, consistent daily scheduled study periods of no more than 90 minutes enables the user to chunk information through sensory memory into working memory for encoding and retention. The cognitive load theory suggests that sensory memory (working memory) may only hold minimal amounts of knowledge. Chunking is the term used by the cognitive information processing theory to describe how content must be organized for effective processing from working memory through encoding for retention into long term memory. When content is organized in a scaffolded manner to chunk how much is being taken in per instance, the sensory memory process is not overwhelmed. Learners that refocus their brain on different activities to return to clarification of previous work are building new paths of dendrites and synapses in the brain. The more associations built while engaged with using the required content to complete learning requirement, the stronger the retention of knowledge. Learning is actually taking place as the increase of associations in the brain builds strong schemas for connecting knowledge encoded concepts.

Brain based sensory memory is temporary storage for content that is being sourced into the brain. Whether through reading, visual observation, or hearing, the content is held in working memory for a short period. Once in working memory the content must be acted upon to transfer through to retained memory. Just having knowledge does not mean we know the knowledge. Unless the individual applies the knowledge, it is often lost. Passive learning does not engage the learner with the knowledge through action. Active learning involves the individual with knowledge use. Knowledge becomes retained through the experience. Online distance learners require an understanding of what actions characterize the active learner. How they engage with learning through planning requires developing awareness for how they learn. Passive learners assume the content, active learners experience the content. Passive learning does not motivate discovery.
Active learning is a strong motivator of discovery reflected in the demonstration of divergent and convergent thinking. According to Drapeau (2014), “divergent thinking requires students to think of many different ideas. A student uses divergent thinking to generate different solutions to a problem or a challenge” (p. 4). Generating different solutions involves creative problem solving which strengthens critical thinking. Drapeau (2014) further asserts, “Convergent thinking is when there is only one right idea” (p. 4). When students are focused on being right or wrong seeking one answer versus seeking different creative solutions learning opportunities are limited. Drapeau (2014) further specifies, a student “uses convergent thinking to decide which” creative solution “provides the best result” (p. 4). Therefore, online instructional strategy that targets the learner’s processes for how they are learning motivates critical thinking and reflection.

Providing suggestions for how a student can revise learning habits empowers the student toward metacognition to revise their learning structures. According to Driscoll (2005), “Objectivism is the view that knowledge of the world comes about through an individual’s experience of it” (p. 387). Using knowledge creates additional paths in memory revising and adding to existing knowledge. The more paths of content knowledge through visual, auditory, and kinesthetic learning actions, the more associations created in the brain. Driscoll (2005) further posits, “knowledge is constructed by learners as they attempt to make sense of their experiences” (p. 387). The more content experience applied by the student, the more associative connections established for the content in retained knowledge.

**Training versus Education**

Training and education are connected through similar learning goals. However, training and education differ significantly. Posner (2004) argues, training is repetitive exercises using memorization where specific outcomes are expected. Training goals are known specific predictable outcomes. All training participants know how, where, when, and why the learner will use the training. Therefore, building structure of learning processes revises learning skills through rehearsal strengthening learning habits. Education differs as where and how the learner will use the content in the real world is not predictable. Training and educational learning are common in all educational settings. Posner (2004) presents a controversial question, “How much of schooling and what proportion of each subject should we conceive of as education, and how much should we conceive as training” (p. 71).

We all learn to speak, walk, eat, hear, see, and understand. Speaking and walking are trial and error processes of learning from experience. Learning to learn is training the mind to strengthen learning skills. Learning how we learn requires a metacognitive approach continually revising processes for improved results. Dewey (1994) stated, “This condition is satisfied only as the educator views teaching and learning as a continuous process of reconstruction of experience” (p. 87). Learning to learn through authentically evaluating the learning experience prepares learners to manage learning. Learning to manage a structured plan for how time is used is a behavioral conditioning. Practicing good time management for learning provides students with excellent means to strengthen critical thinking as an internal expectation. Learning becomes a beneficial activity instead of a mundane task. Distance learner’s that develop consistency in how they structure learning continue to practice brain based learning discipline in daily life.
Online adaptive learning applications are excellent methods for behavioral modification. Creating a technology assessment tool designed to assess student current knowledge status provides instructors with a baseline understanding of the student specific knowledge level. Through adaptive learning tools, student can be encouraged to revise and practice multiple choices and fill in the blank assessments. Guiding distance learners to use course materials to research for correct answers strengthens student time management. Students modify time management learning habits to improve the knowledge through an authentic assessment tool. An important consideration for adaptive learning technology is the guidance of the online instructor. Instructors must engage students with consistency to stimulate student motivation. Using adaptive learning techniques can empower a student to change how they use the tool. This type of online distance learning behavior provides a means for modification of student expectations. Students become motivated to improve learning processes, as the improved time commitment to earn the best result becomes the focus versus the grade.

Training the mind can be a challenge for individuals that have been conditioned to satisfy external expectations. Dewey (as cited in Archambault, 1974) posits, “It’s not the doing that matters, it’s the thinking about doing” (p. 321). Students with conditioned extrinsic motivational intentions may use the same processes repeatedly expecting different results. Learning may be reduced to a task oriented listing among many other tasks. Thinking critically about how the learning must be accomplished is often forgotten with the intention of making sure that the learning objective is completed on time. Learning defaults to a task versus a process. Instead of strengthening learning skills through revisions suggested by the instructor, the distance learner places the learning on a list with the intentions of producing improved results. When the results are not what is expected the student will justify the outcome through emotional frustration transferring the justification of the result to an external event. Determination to complete requirements with the best of intentions is always a factor. However, the approach should be to learn from the experience rather than receive a reward from the experience. Students invested in extrinsic motivation may never review how results were reached.

Distance learners may resort to multi-tasking when competing with demands for time from work, family, and social expectations. Multi-tasking habits can have negative influence on the effective use of learning skills. According to Crews and Russ (1012) “The existing research reveals that multitasking has an impact on productivity, frequency of error, critical thinking skills, and the ability to concentrate; some research shows multitasking may even contribute to Attention Deficit Trait” (p. 58).

Training the mind requires due diligence toward a prioritized process. Comprehensive reading, scholarly writing, critical thinking, and metacognitive reflection are learned skills. Student efficacy can be strengthened through using prioritized processes. However, the learner must be guided toward understanding how the process steps must be followed. Guiding a learner to become cognizant of their learning ability requires understanding learning. Training the brain is a significant component of education. Too much emphasis on educational assessment in view of a training approach can undermine the confidence and efficacy of the learner as correction becomes the practice versus learning.
Untimely disruptions resulting from external actions may undermine learning intentions. Distance learners must constantly compete with family, work, or social obligations. These obligations often disrupt the planned learning process. Gonzales and Mark (2004) posited that it takes the average worker up to 25 minutes to refocus on a task after an interruption. Learners are often competing with external events to manage learning time. Therefore, the planning of a learning structure is vitally important to the success of the learning plan. Setting learning goals is the best approach.

**Application of Learning Goals**

Declarative and procedural knowledge differ. Declarative or conceptual knowledge enters the brain through sensory perception. Knowledge retained through rote learning, delivery, and observation is conceptual. Content is interpretation from presentation, observation, and not experience. A learner can spend an enormous amount of time reading material. Without application of the material, it remains perceptual knowledge. Procedural knowledge is learned process. It is how the conceptual knowledge is applied. Learning structure involves awareness of learning skills. A learning structure is prioritized process that is planned, implemented, and revised through constant learner evaluation.

Self-regulation in learning requires planning. Planning learning requires understanding learning goals. The SMART Goal process is excellent prioritized learning processes encompassing distal and proximal goal planning.

SMART is an acronym for strategic and specific, measurable, attainable, result oriented, and time bound.

1. Strategic and specific - the goal targets a specific learning outcome and requires a strategic plan answering questions of who and what.
2. Measureable - the goal success is measureable for the student by answering the question of how.
3. Attainable - the goal is attainable in a specified strategically structured timed plan.
4. Result oriented - the goal is aligned with continued progress related to other prioritized goals leading to an outcome.
5. Time bound - the goal has a specific completion date. This answers when.

Learners that plan learning do so with an awareness of their brain based ability. Constructivist methods challenge students to reconstruct knowledge through critical thinking initiated from cognitive dissonance. Reinforcement of good learning structure practices empowers students to review formative feedback with objective views. Connecting to the student’s reality should stem from differing aspects of behaviorist, constructivist, and cognitive learning theories. Gredler (2005) stated, “A characteristic of learning theories is that they address the underlying psychological dynamics of events” (p. 17). Engaging with constructivists instructional design supports thinking motivating individual cognitions from student experience (Schunk, 2004).

Self-motivation is a vital aspect of empowerment for the distance learner. The ARCS model provides an excellent example for the components necessary for a student to address self-motivation. The ARCS model components are A-attention, R-relevance, C-confidence, and S-satisfaction.

1. A - Attention addresses the generative aspects of sustaining a learner's curiosity to maintain engagement with content for application to the learner's
reality. Establishing multiple means to generate student interest motivates a student to stay engaged.

2. R - Relevance addresses the learner’s approach toward how the supportive aspects of the learning opportunity can contribute to the learner meeting expected outcomes. The student establishes self-goals over and above the course expectations to meet personal expectations versus just meeting external expectations.

3. C - Building confidence includes specific aspects such as verification of clear expectations. Students must clarify personal expectations, as they are needed for progressing through curriculum. Students can be overwhelmed with too much detail. It is important students pace their learning process as each challenge is presented. The success of a student’s self-initiated process through learning from failures is a natural means of strengthening learning skills. Gaining confidence occurs as students use self-initiated skills to exceed the course expectations and learn from mistakes.

4. S - Satisfaction addresses the learner’s sense of accomplishment strengthened by their desire to learn. Every student regardless of age or status must rise to the learning occasion and feel internally satisfied with the challenge and the outcome. Just as an instructor applies these components to learners in a classroom setting, a learner must develop an understanding that these components can be applied for improving learning experiences and outcomes.

Reconstructing retained knowledge must be a student centered practice. Providing formative feedback focused on process should be a main stream instructional strategy. Teachers must target the student’s reality and require students to live up to the student’s expectations. Proficient learning employs considerable use of procedural formative feedback. Nicol and Macfarlane-Dick (2006) argued, “Good quality external feedback is information that helps students trouble shoots their own performance and self-correct: that is, it helps students take action to reduce the discrepancy between their intentions and the resulting effects” (p. 208). How delivery and intention of formative feedback are delivered by instructor are integral to good student centered learning.

Structured Learning Practices

Cognitive learning theory supports the information process learning theory. According to Driscoll (2005) “When learning occurs, information is input from the environment, processed and stored in memory, and output is the form of some learned capability” (p. 74). Working memory holds chunks of knowledge to transfer from short term memory to long term memory for retention. Integrating instructional activities that require students to engage the content differently from their reality increases the building of synapse and dendrites. Long term memory stores knowledge for recall through building new pathways creating new synapses and dendrites. Cognitive processes, individual learning habits, and metacognitive comprehension contribute to perceptions (Gredler, 2005). According to Willis (2007) “the more regions of the brain that store data about a subject, the more interconnection there is. This redundancy means students will have more opportunities” for retention of knowledge strengthening retrieval. “This cross-referencing of data means we have learned rather than just memorized” (p. 311).
Providing examples of structured learning practices can bring about awareness for students to revise learning habit perceptions through critical thinking. Learning structure suggestions can motivate a student’s practical understanding for how changing learning habits can benefit his or her life. Learners may not be aware of the influence of external conditioning and ramifications. Student learning habits may be affected by socio economical and family characteristics. Creating a learning family is an excellent collaborative functional practice benefiting effective learning structures.

Learning family structure is a method of establishing a behavioral family process. The family is aware, understands the importance, and benefits for the learner’s engagement in the long term goal. The main benefit of the learning family structure is to improve family quality of life versus just the student’s focus. Developing a learning family structured process is one of the best gifts a parent can provide for their children.

**The Learning Family Structure Process**

The below learning family structure process and steps have been shared with several online distance learners. The work Effective Learning Structures is published online through the Online Learning Consortium (Dakin, 2013).

1. When students manage learning time, time is not managing the student.
2. Establish a daily learning time of no more than 2 hours per day but every day. Schedule a minimum of one hour per day for each course taken. Engage every day in learning versus doing things to get them off a list.
3. Designate a specific private learning area you create for engaging with learning in the home that is secured without media interruption. No TV, radio, or cell phone is in the space.
4. Establish a reward system if you are a parent that provides a means of tracking the families support of your learning structure over time. This would include a 3x5-grease board listing each family member and a reward system.
5. Engage on Sunday each week with reviewing the assignments and begin assignments using the course text as a reference. By first setting up a formatted template before trying to read, learners develop an authentic assessment approach.
6. Clarify your understanding of the difference between internal and external of control characteristic habits for learning.
7. When we take responsibility to engage our reality with what we do with the subject content, we begin the process to participate in learning from experience to manage the next experience.

**Learning Family Structure Steps**

1. Students should engage all family members with a serious discussion at the kitchen table.
2. During the family discussion, the student must reach a point where they feel that all family members are on the same sheet of music understanding that the learner is attending school to improve the quality of life for the family and their future life experiences.
3. Once the family members realize the student is enrolled in higher education to improve the life conditions of the family then a request should be made.
4. The student should state, "Please, I need your help" to the family.
5. If the student is a parent, the student could also state, I am spending thousands of dollars of our future income to make this difference now for our family and our future.
6. The important aspect of this is to reinforce the perception that when an adult student demonstrates a consistent structured learning behavior, the family becomes a learning family within a number of weeks.
7. This is a strong benefit to have a student engage the family by demonstrating a disciplined strong learning structure.
8. For children in the family, the benefit is the children of the adult student develop the same habits.
9. The family learns to practice a structured approach for learning moving from external locus of control towards internal locus of control behavior.
10. The communication in the family begins to approach a responsive behavior versus a reactive behavior.

**Best Practices for Distance Learning Students to Improve Learning Structure May Include**

1. Clarify the weekly requirements at the beginning of a week to ensure understanding. Ask for clarification or email the instructor for a clarification if not certain of the interpretation.
2. If rubrics are provided in the course, clarify understanding of the rubric requirements to guide an understanding of the instructions.
3. Use a Library for research. Stay away from Internet search engines to use them as a source of reference content.
4. Always use a format reference guide to verify you are formatting, citing, and referencing your content that is taken from sources to support your original words.
5. Never copy content from the Internet to use as your words.
6. Do not wait until the end of a week or the due day to begin assignments. If the assignment requires an essay, start your template with headings early in the week and research each heading as you move through the week.
7. By setting up your writing templates early, you are engaging your mind with the content versus just getting something done.
References


Demand Revelation Theory and Transportation Infrastructure Development in China

Wenjie Du
Central Washington University
Abstract

The problem of inadequate transportation infrastructure (TI) in China’s rural areas has proven very difficult to address. The centralized planning process that is not responsive to local demand and fragmentation within the hierarchical scheme imped adequate planning. Take the process of highway planning for example, there are two major decision makers: transportation departments and development and reform departments at all levels. These two departments work together to formulate the five-year and annual plans for highway construction this includes examination and verification of the plans proposed by their respective departments at the next lower governmental level (Administrative regulations on rural highway reengineering project, 2005). Other “relevant departments” in Highway Law (1997) include the departments for environment protection, water resources, land resources, and historical relic protection. Highway plans must be approved by these auxiliary decision makers.

The Impact of a Reform: Administrative Prefecture-Level Municipality (APM)

In an attempt to rationalize planning an increase administrative efficiency the governments of China’s large cites were given jurisdiction over their entire metropolitan areas. This reform created a new level of government, The Administrative Prefecture-Level Municipality (APM), between the province and the county in the hierarchical structure of China’s unitary state. The most influential impact on allocation of public resources caused by APM reform is that the political position of county (rural areas) has declined and that of the city (urban area) has increased remarkably. This widened the gap between city and countryside that it was supposed to close. The widening of the gap in TI development since APM is so striking that it has been singled out as the cause of contemporary problems. It’s not just that public financial resources at the sub-province level are gathered in administrative prefecture-level municipality, giving it more direct control over public resources for TI projects; the tax sharing relationship changed for the counties reducing their revenue and lowering their bargaining power. When the county is managed directly by the province government the county pays 20% its own source revenue to the province government and keeps the remaining 80%. After APM it pays 50% of its revenue the metropolitan government (Li, 2013).

Conflicts between APMs and counties have surged since 1994 when the tax sharing system was enacted because of the changes in the distribution of benefits that followed (Xu, Liu, and Zhou, 2007). APM reform has failed to achieve its goal using the economic strength of the cities to accelerate development in the counties. Instead, the APM suppress the counties in almost every field of economic development. Not only competing with the counties by harnessing their political advantage, the APM also hinder the counties from obtaining the approval of administrative licenses, impose arbitrary fees on the counties, such as urban construction fees (Dai, 2004), and retain the transfer payment from the upper governments or misappropriate them (Zhou, 2000).

There is no reason to suppose, as American theorists were arguing at the time
that metropolitan consolidating could not result in sustained long-term development of the whole area. APM was part of a larger wave of reforms involved in the opening of China’s economy that emphasized rapid economic growth. Once GDP was introduced as the measure of success, all upward mobile officials were sucked into the “tournament” system, the competition for highest annual GDP growth was on. So they poured revenue into big infrastructure projects with high pay off—the bigger the better. Since individual success in the tournament was short-term, the long-term benefits for the countryside promised by APM were sacrificed for majestic railway stations, airport terminals, and idle highways around the big cities. Meanwhile, the counties suffered from the lack of roads, railways and harbors.

Both before and after the structural reform the wishes of the impacted people were overlooked. However, before the reform, the provincial government was more likely to formulate highway plans that supported balanced development across the whole area, because its jurisdiction is much larger than that of a single administrative prefecture-level municipality.

The weaknesses of representative democracy

One reason for the lack of responsiveness to local demand is the closed nature of the planning process. The Highway Law (1997), the supreme legislation in this arena, does not contain a single provision regarding public participation. Although there are some provisions at lower levels, they are seldom implemented due to their ambiguity provisions and the reluctance of officials. The current Highway Code does require that when formulating the highway network plans, the opinions from the public...be widely collected (Code of Formulating Highway Network Plans, 2010). But, it stipulates neither the range of the participants, the way they get involved in the process, nor the binding effect of their opinions. So, in effect, even if opinions are sought, they have no impact on decisions.

As the failure of APM became obvious the conclusion drawn was that there must be some corruption somewhere. Another reform, an anti-corruption measure, provided for the appointment of local officials from outside the area to insure that the political leaders in local governments were not self-interested local residents and limited their terms to 5-years so they couldn’t become attached. As a result, there is no interest in long-term prosperity anywhere at the lower levels, even the counties and political leadership is completely disconnected from representative bodies at these levels.

One of the most serious problems of representative democracy is public demand or the preferences of people have to be aggregated and attenuated at every step of the decision making process. The whole process can be divided into two phases: the people to legislature phase and the legislature to executive branch phase.

In the people to the legislature phase one person one vote and majority rule provisions filter out preferences and can be used to focus or interpret demand. As in most modern countries voting is subject to majority rule, according to which
information, or demand, conveyed by the minority is ignored. The other, apparently a fair rule is “one person one vote” which by assigning equal weight to every vote independent of any interest or stake can be unfair on the ground in that those who have no interest and those with no stake usually decide elections. In other words, one person one vote is blind to real demand in varying degree.

It is easy to see why this is the case. It would be impossible to develop a voter registration system that matched stakeholders and interests with candidates in advance. For instance, people could not be eliminated simply because they live outside the area covered by a planned TI project in that they might rely on the TI indirectly.

In the legislature to executive branch phase, the information about demand or preferences of the public is filtered due to organizational, administrative and professional considerations. First of all, the executive constructs and submits budget draft that sets the boundaries for the legislature, and the legislature decides if spending is in accordance with public demand within those boundaries. More important than the executive’s legal right to set policy agenda is the fact that it controls the information and analytical capacity to generate policy proposals and budgets. The demand or preferences of the public is interpreted and translated into policy by administrative elites who then ask the legislature if they think this is what the people want. When it comes to the budget, it deals with general categories not specific projects and those decisions are left to administrators in the executive departments-- demand, or preference, for particular TI is usually not approved in the budget. That leaves the public with little to no chance of influencing TI decisions through representative democracy.

Since the current representative and administrative arrangements do not reveal the real public demand for TI. A new way to do that is needed by China.

Demand Revelation

Scholars have been working on methods by which government can make efficient decisions about public goods and services since 1920s. Socialist Calculation theorists were skeptical about the possibility of calculating demand in a socialist economy in the absence of information generated by the price-market system. Ludwig von Mises and Max Webber were the pioneers of this school. Later, William Vickrey conceived a method called Vickrey Auction, where “the winner pays not his, the highest, bid but, rather, the second highest bid” (Clarke 1980 p.2).The Social Choice School emphasizes taking individual preferences into account in making social choice. Knut Wicksell and Erik Lindahl thought that reasonable unanimity in social choice could be achieved by imposing taxes based on the benefits received. All of this was theoretical and provided no concert approach (Clarke 1980). Thompson (1965) pioneered a system that would elicit the honest revelation of preferences for public goods that would allow the individuals to purchase insurance against the choice of their least favored outcome.

Based on this pioneering work, especially the Vickrey’s second-highest-bid procedure and Clarke’s incentive tax solution, Tideman and Tullock came up with a
way to reveal demand for public goods or service through taxation that avoids the Paradox of Voting. It solves “the puzzles by allowing each person to accept the choice made by all other persons or to change the result by paying the cost to others of doing what that person wants done instead of what would otherwise be done” so that general demand can be measured by aggregating individual preferences (Clarke, 1980, p. 8). In order to figure out the overall demand for a public goods, all stakeholders must be included in the decision making process. The Thompson’s insurance method that provides compensation for the sacrifices of the voters caused by the least favored alternative being selected is the basis of a new model that provides reimbursement by the means of market-like transactions.

**Transportation Bond Subscription (TBS)**

Transportation Bond Subscription (TBS) is a participatory approach to TI decision-making that stimulate full stakeholder participation and reveals the true demand for the TI project by providing an understandable fully transparent pricing mechanisms that eliminate both the problem of free riding and those associated with voting (representative democracy).

TBS has a hybrid voting scheme that combines elements of representative democracy and direct democracy. Both kinds of democracies have their own strengths and weaknesses. TBS harnesses their strengths while reducing their weaknesses through a new democratic mechanism that incorporates both types of participation in the decision process. Budgetary allocations of representative democracy continue to play a vital role while the bond subscription mechanism introduces direct participation to correct for the distortions of the voters’ will in the representative process.

The structure and process of representative democracy remain unchanged. The people’s congresses at various level, who represent the preferences of public from a broader area, decide the general budgets at each level and the upper limits of percentages to which governments at certain levels are entitled to invest in a particular type of TI projects. The governments at various levels, who are subject to the general budgets and the percentage limits of investment from public finance, have the rights to propose TI projects and decide how much of their respective budgets is to be invested in a particular TI project. These two parts functioning under the rules of indirect democracy roughly represent the regional interests and integral preferences of the public.

Direct democracy is introduced into the budgetary process through a market-like transaction of bond auctions. The degree to which people, including citizens and legal persons (school, hospital, company and administrative agency etc.) prefer to have a TI project built is measured by their subscriptions—the dollar value of the bonds they commit to purchase—not by one man one vote.

**The TBS Model: A Counterfactual Case Study**

TBS as a totally new and complicated model cannot be understood outside of
the real context of the political environment. Therefore, a counterfactual analysis of a recently decided high-speed railway case is used both to show how the model works and to demonstrate its applicability in China.

**Guiyang to Guangzhou High-speed Passenger Railway Case**

Guiyang city, the capital of Guizhou province, wanted to build a high-speed passenger railway to Guangzhou, the biggest city of southern China and the capital of Guangdong province in the beginning of 21 century. This project is called Gui-Guang High-speed Passenger Railway, hereinafter referred to as G-G Railway.

Figure 1: Map of Guiyang to Guangzhou High-speed Passenger Railway

Guangxi autonomous region, a provincial local government, is in the middle of these two provinces. The earliest plan (referred to as northern line, shown as the upper blue lines on Figure 1), proposed by Guizhou province, going through Hezhou and Guilin city in Guangxi, aimed to exploit the abundant resources of tourism and to boost the lagged out areas. It was the shortest line with less estimated investment, which was supported by Guizhou province and Guilin city. The competing plan, called southern line (shown as the black and red lines on the central of Figure 1), covering Wuzhou, Liuzhou and Hechi, was easier to be built and expected to yield economic output. It was favored by Guangxi province, who hoped that this railway drove the development of the southern part of Guangxi, especially the North Bay area (Tang and Qin, 2014). The pros and cons are shown as Table 1.

The project was planned through the traditional method featuring up to down and non-transparent decision making process. As a result, the northern line won, and the project was constructed in 2014. Guilin city is the biggest winner in the contention (Tang and Qin, 2014) in that it became the hub of transportation connecting all the provincial capitals in southwest China. As a consideration, Guangxi government successfully required that the MOR (Ministry of Railway in China) approved the Nanning to Guangzhou high-speed passenger railway, going via Wuzhou (shown as the lower blue lines in Figure 1). APMs Liuzhou and Hechi, as
the interested parties and the losers, not only gained nothing but also was marginalized in an ear of high-speed railway. On contrary, the non-interested parties, APMs Nanning and Guigang, got big bonus at the cost of nothing.
Table 1: The Pros and Cons of Northern Line and Southern Line of G-G Railway

<table>
<thead>
<tr>
<th></th>
<th>Northern line</th>
<th>Southern line</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Via cities</strong></td>
<td>Guilin, Hezhou</td>
<td>Liuzhou, Hechi, Wuzhou</td>
</tr>
<tr>
<td><strong>Pros</strong></td>
<td>Shorter route and running time.</td>
<td>Easier to build by exploiting the existing railway (the black lines in the central of the map)</td>
</tr>
<tr>
<td></td>
<td>Less operational cost.</td>
<td>Via populated and relatively developed area</td>
</tr>
<tr>
<td></td>
<td>Drive the development of areas inhabited by ethnic minority.</td>
<td>Better expected profits</td>
</tr>
<tr>
<td></td>
<td>Guilin is a world-wide famous tourism destination.</td>
<td>Comply with the strategy of Guangxi</td>
</tr>
<tr>
<td><strong>Cons</strong></td>
<td>Hard to construct due to poor geological conditions.</td>
<td>Longer route and running time.</td>
</tr>
<tr>
<td></td>
<td>Areas it connects are less populated and developed, leading to less expected profits.</td>
<td>More estimated investment</td>
</tr>
<tr>
<td></td>
<td>Fewer areas in Guangxi can be serviced by it.</td>
<td></td>
</tr>
<tr>
<td><strong>Favored by</strong></td>
<td>Guizhou province, all cities it connects</td>
<td>Guangxi province, all cities it connects</td>
</tr>
<tr>
<td><strong>Reasons to support</strong></td>
<td>Fastest route connecting Guizhou and Guangzhou city.</td>
<td>It goes via the central part of Guangxi, which is promising to drive the development of southern part of Guangxi, esp. Northern Bay area</td>
</tr>
<tr>
<td></td>
<td></td>
<td>More areas in Guangxi will benefit from it directly</td>
</tr>
</tbody>
</table>

Obviously, it was a result that went against Pareto Improvement. The condition of all interested parties are supposed to be better off had the TBS model been adopted.

**Application of TBS Model**

As an inclusive system of decision making, all the stakeholders should be included in TBS.
As shown in Figure 2, there are three kinds of people (including legal persons), who are users/direct beneficiaries and victims, indirect beneficiaries and victims, and the indifferent public. Users, as well as direct beneficiaries and victims will take part in the process of decision making by subscribing and trading the particular transportation bonds. In the case of G-G railway, the users, direct beneficiaries and victims include the passengers, most of whom are tourists, the tourism companies, and the passenger transportation companies. The Local governments along the TI project, the government at next higher level, which is national council in the G-G railway case, and people’s congresses at correspondent levels are on behalf of the indirect stakeholders. Indifferent public are excluded in the process, since no reasonable people will buy bonds when they are expected to get nothing good.

TI commission, an independent agency established directly under national council, is a must-have organization to operate such an impartial model in a unitary country where the government at lower level has to obey those at higher level.

<table>
<thead>
<tr>
<th>Type of TI</th>
<th>Function of TI</th>
<th>TI Division</th>
</tr>
</thead>
<tbody>
<tr>
<td>National</td>
<td>Linking provinces and forming national TI network.</td>
<td>National wide. Some sub-national TI commission can be established for areas that span several provinces and have intensely economic connection.</td>
</tr>
<tr>
<td>Provincial</td>
<td>Linking cities and counties within a province, forming provincial TI network.</td>
<td>Province wide.</td>
</tr>
<tr>
<td>County</td>
<td>Linking townships and forming county-wide TI network.</td>
<td>County wide. TI that connecting villages within a township can be planned in this level for the sake of reducing bureaucracy.</td>
</tr>
</tbody>
</table>
As shown in Table 2, TI locates in the TI division should be planned in the correspondent TI commission. The TI division is designed to cover all the areas affected by the planned TI, with purpose to include all the stakeholders in the process of decision making. All the TI commission are independent from the local people’s congresses and governments, and guided by the commission at the next higher level. In the case of G-G railway, a national TI, all the related governments at national level, provincial level, APM level and county level have the equal rights to express their preferences without the fear of being interfered by other governments.

The Obligations of Participants

**TI Commission:** The obligation of TI commission are to arrange the procedure of TI planning. First, it is in charge of disclosing all the alternative plans submitted by local governments at various levels for a certain period, say a year or 5-year. In this case, alternative plans can be proposed by any government between Guiyang and Guangzhou, say Province Guizhou proposes north line of G-G railway, then the government of Guangxi Autonomous Region proposes south line of G-G railway. APM government of Liuzhou, if necessary, can also propose a different plan X and persuade other governments to support this plan. Then, the commission will openly issue transportation bonds and count the votes of all participants, including bonds and appropriations which are set aside to fund the planned TI project.

**People’s congress and government at next higher level:** As illustrated in Figure 3, a TI project is funded by three types of capital: the public finance from the government at the next higher level, those from the local governments within the TI division, and capital from bonds subscription. Segment AB indicates the upper limit of investment from government at the next higher level, which is set by the people’s congress according to the type of TI (shown in Table 3). People’s congress and its government at the next higher level should have a certain decision making authority over the TI planning due to the externality produced by such semi-public goods. In the case of G-G railway, the government at the next higher level is national council and the investment limit is set by the national people’s congress, both of whom are supposed to represent the integral interests of whole country. Except setting investment limit, the people’s congress at next higher level can also display the willingness of its constituent by approving the overall budget in the field of transportation.
Segment AB’ indicates the alleged willing to invest from next higher level government, namely the national council in the case. Government, who possesses professional knowledge and detailed information concerning to the planned TI and represents the general public indirectly by allocating the budget into each potential TI plan, is a power to check and balance the potential irrationality of the public. Budget is limited. However, there are plenty of TI projects needing to be funded by public finance. The order and the amount of investment embody the preference of the government. For instance, the national people’s congress stipulates that the national council can invest less than 50% of the total estimated investment of a national TI project. And the national council decides to fund 45 billion yuan, accounting for 45% of the total estimated investment, 100 billion yuan, in G-G railway project.

Local People’s congress and government along the planned TI project: Similarly, segment BC indicates the upper limit of investment from the local governments along the planned TI project, which is set by the people’s congress according to the type of TI (shown in Table 3). And BC’ indicates the alleged willing of government to invest in the said TI project. Local governments, who are comprised of experts in a wide range of fields, know better about economy and transportation than people’s congress. Therefore, they are inevitable participants in the decision making process.

It is worth noting that “the local governments along the planned TI” might include governments at various level, ranging from provincial government to township government. It is intended to create a market-like environment for governments at different levels to compete with each other. In the case of G-G railway, the “local governments” refer to provincial governments, like Guizhou, Guangxi, and Guangdong provincial governments, as well as APM governments, like Guilin and Liuzhou city. It can also refer to county and district government under the APM.
Table 3: An Example of Investment Limit over Different Type of TI

<table>
<thead>
<tr>
<th>Type of TI</th>
<th>Upper limit</th>
<th>National TI</th>
<th>Province TI</th>
<th>APM/County/ district TI</th>
<th>Township TI</th>
<th>People’s congress at which level sets the limit</th>
</tr>
</thead>
<tbody>
<tr>
<td>National TI</td>
<td>50%</td>
<td>20%</td>
<td>10%</td>
<td>N/A</td>
<td>N/A</td>
<td>National</td>
</tr>
<tr>
<td>Provincial TI</td>
<td>N/A</td>
<td>60%</td>
<td>20%</td>
<td>N/A</td>
<td>N/A</td>
<td>Provincial</td>
</tr>
<tr>
<td>County TI</td>
<td>N/A</td>
<td>20%</td>
<td>50%</td>
<td>10%</td>
<td>N/A</td>
<td>Provincial</td>
</tr>
<tr>
<td>Township TI</td>
<td>N/A</td>
<td>N/A</td>
<td>20%</td>
<td>60%</td>
<td>N/A</td>
<td>County</td>
</tr>
</tbody>
</table>

Table 3 is an example of investment limit over different type of TI. Take G-G railway for instance, the national people’s congress set an upper limit of investment for local governments at 30%, shared by provincial governments (20%) and those governments under them (10%). If the aggregated investment from local government surpluses the upper limit, the excessive part will not be counted. And if the plan wins eventually, then the relevant governments have to pay in proportion to their bidding.

Table 4: A Sample—Local Governments at Various Levels Invest In G-G Railway

<table>
<thead>
<tr>
<th>$ local governments are willing to invest</th>
<th>G-G North</th>
<th>G-G South</th>
</tr>
</thead>
<tbody>
<tr>
<td>APM Guiyang</td>
<td>2b</td>
<td>0</td>
</tr>
<tr>
<td>APM Guangzhou</td>
<td>.5b</td>
<td>2.5b</td>
</tr>
<tr>
<td>APM Guilin</td>
<td>6.5b</td>
<td>0</td>
</tr>
<tr>
<td>APM Liuzhou</td>
<td>0</td>
<td>10b</td>
</tr>
<tr>
<td>County Sanjiang</td>
<td>.5b</td>
<td>0</td>
</tr>
<tr>
<td><strong>Sub total</strong></td>
<td>9.5b</td>
<td>10b¹</td>
</tr>
<tr>
<td>Three provinces</td>
<td>20b²</td>
<td>19b</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>29.5b</td>
<td>29b</td>
</tr>
</tbody>
</table>

In the case, local governments under provincial governments are willing to invest in south line (12.5 billion yuan) more than they are allowed to do (10% of 100 billion total estimated investment). The excessive part of 2.5 billion yuan will not be counted in case of abuse of public finance and undermining the authority of direct democracy. If the south line wins, Liuzhou has to pay 10*(10/12.5) =8 billion yuan.

Transportation bonds subscribers (TBSers): Segment CD indicates the percentage reserved for investment from bonds subscribers. Those who conceive they will be affected be the TI are entitled to subscribe the bonds freely, no matter where they live or locate. Different from the previous two segments, the subscribers

---
¹ Because the total willing investment, 12.5b, is more than the upper limit of investment set for the local governments, 10%, it will be only counted as 10b, namely 10% of the total expected investment of the project.
² Because the total willing investment, 22b, is more than the upper limit of investment set for the provincial governments, 20%, it will be only counted as 20b, namely 20% of the total expected investment of the project.
are entitled to buy as much bonds as they like without any limitation, because they vote with their pocketbook and are relatively prudent. Besides, the excessive money raised by subscription can be used to fill the gap of the upper limit of governmental investment and the alleged willing to invest, compensate the losing parties, and fund the programs that is aimed to encourage people to buy bonds rather than to be a free-rider.

All bonds are refundable before the end of voting. If a plan loses, all the subscribers will be fully refunded. If a plan wins, the subscribers will not be refunded. When the voting is end, the bonds of the winning side can be traded freely. Its market value will be determined by the privilege it contains. Therefore, the pricing system will tell the government and the voters whether the TI is a good deal for them, which is a precious lesson for the followers and the researchers.

In a large-number voting, free riders are technically inevitable as many voters believe that the total outcome of the voting will not likely change only because of the absence of his or her ballot. In the TBS model, people might think in the same way, and subscribe nothing but wait and see the favored alternative winning out. To address the problem, the TBSers, referred to those who have bought transportation bonds, will get certain discounts in proportion to the amount of bonds when they pay for road toll or gas tax, or other privilege like the priority to use particular TI at rush-hour. Under this system, any rational voter will be more likely to evaluate his or her real demand for a TI and subscribe the bonds honestly, or he or she will be punished due to the dishonest behavior.

The Bond Subscription Mechanism

**Winning Plans:** Summing up AB', BC', and CD', we can figure out how much investment that all the parties are willing to fund the planned TI project. The plan, among the competing plans of a project, with higher votes ($s) which surpluses the total estimated investment wins. If no alternative plan gets votes ($s) more than estimated investment, then the vote is invalid. Plans of different projects win if they get the highest ratio of investment (votes/total estimated investment). For example, there are six votes at the national TI commission at the same time: north line of G-G railway, south line of G-G railway, and other railway 1 to 4 for four different railway projects as shown in Table 5.
Table 5: Plan(s) with Most Votes or Investment Win

<table>
<thead>
<tr>
<th>Name of TI project</th>
<th>Total votes/ investment it gains</th>
</tr>
</thead>
<tbody>
<tr>
<td>G-G North</td>
<td>122.5b (AB’=45, BC’=29.5, CD’=48&gt; estimated investment, wins)</td>
</tr>
<tr>
<td>G-G South</td>
<td>110b (AB’=40, BC’=29, CD’=41. south&lt;north, loses)</td>
</tr>
<tr>
<td>Other railway1</td>
<td>30m (=110% estimated investment, rank 2\textsuperscript{nd})</td>
</tr>
<tr>
<td>Other railway2</td>
<td>25m (&lt;estimated investment, invalid)</td>
</tr>
<tr>
<td>Other railway3</td>
<td>7m (=125% estimated investment, rank 1\textsuperscript{st})</td>
</tr>
<tr>
<td>Other railway4</td>
<td>15m (108% estimated investment, rank 3\textsuperscript{rd})</td>
</tr>
</tbody>
</table>

The ranking order of plans means the plans which precede others will be constructed with priority if the budget cannot fully support all the valid plans.

**Loser Compensation:** The loser(s), whose favorite plan is not chosen, shall be compensated to improve their traffic condition. There are two exemptions, the government at the next higher level and the TBSers who favor the losing plan. The former is deprived to get compensation because the winning plan reflects the maximized integral interests, which is in accordance with the standing point of the government at the next higher level. The TBSers should not be compensated with the intention to prevent the subscribers of the loser’s side from dishonest behaviors, such as overstating their demand by excessive subscription. For the same reason, if the gap of votes ($) between the winning and the losing plans is too large, then the loser will not be compensated, in case of senseless proposal of alternative plans of TI project or malice bidding.

The excessive fund, overall subscription and alleged governmental investment minus estimated investment (122.5-100 in the case), is part of expected net benefits of stakeholders from the railway G-G. If it is shared by the losers in proportion that the individual losses account for the total losses, then all the participants will be better off and Pareto Improvement will be achieved. Compensation will be kept in a capital pool dedicated to improve the losers’ traffic conditions.
Table 6: An Example—Compensations for Losers of G-G Railway

<table>
<thead>
<tr>
<th>Votes</th>
<th>G-G North</th>
<th>G-G South</th>
<th>Compensation</th>
</tr>
</thead>
<tbody>
<tr>
<td>National gov.</td>
<td>45b</td>
<td>40b</td>
<td>N/A</td>
</tr>
<tr>
<td>Guangdong Province</td>
<td>8b</td>
<td>4b</td>
<td>Winner</td>
</tr>
<tr>
<td>Guangdong Province</td>
<td>8b</td>
<td>4b</td>
<td>Winner</td>
</tr>
<tr>
<td>Guizhou Province</td>
<td>10b</td>
<td>5b</td>
<td>Winner</td>
</tr>
<tr>
<td>Guangxi A.R.</td>
<td>4b</td>
<td>10b</td>
<td>2.89 b</td>
</tr>
<tr>
<td>Guiyang city</td>
<td>2b</td>
<td>0</td>
<td>Winner</td>
</tr>
<tr>
<td>Guangzhou city</td>
<td>.5b</td>
<td>2.5b</td>
<td>.76 b</td>
</tr>
<tr>
<td>Guilin city</td>
<td>6.5b</td>
<td>0</td>
<td>Winner</td>
</tr>
<tr>
<td>Liuzhou city</td>
<td>0</td>
<td>10b</td>
<td>3.81b</td>
</tr>
<tr>
<td>County Sanjiang</td>
<td>.5b</td>
<td>0</td>
<td>Winner</td>
</tr>
<tr>
<td>TBSers</td>
<td>48b</td>
<td>41b</td>
<td>N/A</td>
</tr>
<tr>
<td>Total</td>
<td>122.5b</td>
<td>110b</td>
<td></td>
</tr>
</tbody>
</table>

As shown in Table 2-8, the loser Liuzhou city will get \((122.5-100)*(10-0)/[(10-4)+(2.5-0.5)+(10-0)+(41-0)]\) = 3.81 billion yuan as consideration. Liuzhou might use the compensation to build a connection line Liuzhou-Sanjiang to improve its railway grid.

The fund, used to offer privilege for the subscribers on the winning side, comes from the excessive investment too. Actually, the amount of the fund is in proportion to the losses of the TBSers who favor the losing side. It equals \((122.5-100)*(41-0)/[(10-4)+(2.5-0.5)+(10-0)+(41-0)]\) = 15.64 billion yuan.

**The TBS Process**

**Initiation**

Any related government has the right to propose a new alternative as long as it receives enough support. In this case, all parties, Guangdong province, Liuzhou city, or even Sanjiang County can initiate an alternative. If a plan is supported by all other relevant parties, namely the places it passes, then it is eligible to enter into the next step.

**Public Participation**

Inspired by citizen meeting and consultative committee introduced in John Clayton Thomas’ book *Public Participation in Public Decisions* (2010), the informed voters is the key to assure an efficient public choice. After the deadline for initiation, a certain period of time must be saved for public debate and education. During this time, involved governments are motivated to produce and share information supporting the alternative they favor, while questioning the information shared by the competitors. By the means of public debate and media broadcasting, voters are educated, leading to better understanding of the pros and cons of the alternatives.

**Open Bonds Issue Process**

The TI commission then issues transportation bonds openly without any quota. Anyone, no matter where he lives or locates, can subscribe the bonds freely by
freeze a certain amount of deposit, pre-authorize the issuer to charge or other equivalent means. It is fair for the user of public goods to pay for what he or she gains. TBSers are encouraged to use credit tools to raise funds to buy bonds since the profits and benefits of the TI project comes from the future. Otherwise, the poor will never have the chance to have the favored TI be built.

First round subscription

Any rational voter will calculate the net benefits from the planned TI project, namely compare the convenience (p) brought about by the planned TI and the cost (c) to buy bonds. The amount of subscription will be somewhere between 0 and (p-c). Suppose all the voters are rational, then the aggregated subscription will be less than the net benefits a city or county gains. Allowing for a bunch of free riders, the primary subscription might be much less than the net benefits. A voter can subscribe both bonds at the same time as residents who live in city A will benefit from either plan to different extent.

The amount of the bonds that have been subscribed so far are strictly kept secret, like a blind bidding. It is designed to prevent the voters from intended misstatement.

Half-time break and publishing the amount of initial subscription

Because there is a relatively wide range between 0 and the net benefits a voter expects to gain, the amount of subscription might deviate the total net benefits obviously. And changes are the plan with less net benefits might win. To address this problem, a half-time break is need to publish the amount of subscription for each bonds so far. Voters on both sides will have a chance to adjust their previous strategies as well as re-evaluate their own cost and benefits. After the half-time break, the amount of subscription remains secret. It can be proved that when the weaker party, say the cities and counties along the south line, plays tricks and subscribe more bonds than it deserves, it will gain. But this trick is constrained by the blind bidding and the half-time break. When residents in Guilin find the bond for south line is much less than that for north line, then it will probably refund part of the bonds. On the other hand, if residents in Liuzhou increase the investment on bonds to the extent that surplus its net benefits, then it will suffer loses as nothing it pays comes back.

Final counting and compensation.

Conclusion

The integral demand for TI can be revealed by the market-like voting system that includes the general public, the governments and the direct users who vote by subscribing particular transportation bonds.
References

Administrative regulations on rural highway reengineering project, 2005.
Promulgated by China commission of development and reform and department of transportation of China: article 8 and article 9.


Highway Law of China, 1997

Li, Xiujiang. (2013). Statistic shows 138 counties are preparing to establish city while dismissing the county. China civil entrepreneur. Beijing, China. 2013 the sixth issue.


The Immigration Backlash in the United States

Bruce A. Forster

The University of Nebraska at Kearney

(Professor Emeritus)
The Immigration Backlash in the United States

*When Mexico sends its people, they’re not sending their best. They’re not sending you. They’re sending people that have lots of problems, and they’re bringing those problems with us. They’re bringing drugs. They’re bringing crime. They’re rapists. And some, I assume are good people.*

*Donald J. Trump (June 16, 2015)*

Immigration assumed a prime position in the 2016 election campaign, not due to expressed concerns of the American public, but rather as a result of comments made by Donald J. Trump (DJT) about Mexican immigrants during the June 16, 2015 announcement of his Presidential bid and during his campaign. DJT’s Running Mate, Mike Pence supported this view during an August 28, 2016 CNN interview, when he said “nobody was even talking about illegal immigration until Trump raised it in June 2015.” In annual Gallup Polls of “top four issues named most important problem facing the U.S.” immigration was not one of them from 2008 to 2014. In 2015, it tied with Unemployment for third place with response rates of 8%. (Saad, 2016). A cursory review of 31 American public opinion polls from January 2012 - April 2015 revealed that immigration was never the number 1 issue when it was listed, and it was not mentioned in seven of the polls. In 20 of the polls immigration was ranked number 4 or higher with response rates ranging from 2%-10% (PollingReport.com, 2016). However, these “aggregate” polls mask marked divisions in US residents' views on immigration. How these U.S. residents are divided is the subject of this paper.

Global Differences in Attitudes Regarding Immigration Levels

A global survey, conducted in 2012-14, revealed Europe as the only region with a majority (52%) wanting their immigration levels to be decreased (Esipova et al., 2015).

*Table 1. Global Attitudes to Immigration Levels (% of Responses)*

<table>
<thead>
<tr>
<th>Region</th>
<th>Should be Decreased</th>
<th>Should be Increased</th>
<th>Maintain Present Level</th>
<th>Don't know/Refused</th>
</tr>
</thead>
<tbody>
<tr>
<td>Global</td>
<td>34</td>
<td>21</td>
<td>22</td>
<td>22</td>
</tr>
<tr>
<td>Oceania</td>
<td>26</td>
<td>28</td>
<td>41</td>
<td>5</td>
</tr>
<tr>
<td>North America</td>
<td>39</td>
<td>23</td>
<td>34</td>
<td>4</td>
</tr>
<tr>
<td>L. A. &amp; Caribbean</td>
<td>39</td>
<td>18</td>
<td>30</td>
<td>13</td>
</tr>
<tr>
<td>Asia</td>
<td>29</td>
<td>24</td>
<td>18</td>
<td>30</td>
</tr>
<tr>
<td>Europe</td>
<td>52</td>
<td>8</td>
<td>30</td>
<td>10</td>
</tr>
<tr>
<td>Africa</td>
<td>40</td>
<td>26</td>
<td>21</td>
<td>12</td>
</tr>
</tbody>
</table>


Only 8% of Europeans supported increasing immigration. Europe’s negative attitude is heavily influenced by high negative views in the U.K., Russia and the Ukraine. The plurality of respondents in Africa (40%), North America (39%), and Latin America (39%)
preferred a decrease in their immigration levels. However, combining those who are satisfied with the “present level” of immigration with those preferring an increase in immigration shows that majorities in Oceania (69%) and in North America (57%) did not want immigration decreased.

**U.S. Respondents’ Attitudes Regarding Immigrants**

Table 2 shows residents’ preferences for a change in immigration levels in two surveys undertaken at different times. The Pew Research Center (PRC) survey was conducted March 10 - April 6, 2015.

<table>
<thead>
<tr>
<th></th>
<th>Level Should be Decreased</th>
<th>Level Should be Increased</th>
<th>Keep Present Level</th>
<th>Don't know/ Refused</th>
</tr>
</thead>
<tbody>
<tr>
<td>U.S.*</td>
<td>40</td>
<td>23</td>
<td>33</td>
<td>4</td>
</tr>
<tr>
<td>U.S.**</td>
<td>49</td>
<td>15</td>
<td>34</td>
<td>1</td>
</tr>
</tbody>
</table>


In both surveys more respondents believed that immigration levels should be decreased rather than be increased. In the Esipova et al. survey, 56% of respondents are in favor of at least maintaining the present level or increasing immigration. In the Pew survey the respondents are equally divided with half wanting to decrease immigration and half wanting to avoid decreasing immigration.

Table 3 shows the response rates for U.S. respondents' perception of the impact of immigrants on the US economy in 1994, 2015 and 2016. In 1994 twice as many respondents indicated that immigrants Burden the country rather than strengthen the country. In the May 12-18, 2015 PRC Survey of U.S. Adults 51% of respondents indicated that immigrants make the US stronger, and 41% indicated that they are burden (PRC, 2015). Almost a year later, a March 17-27, 2016 PRC survey, 59% of respondents indicated that immigrants strengthen the country, and only 33% saw immigrants as a burden- despite the intense negative campaign rhetoric (Jones, 2016).

<table>
<thead>
<tr>
<th></th>
<th>Strengthen Country through hard work and talents (%)</th>
<th>Burden Country by taking jobs, housing and health care (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1994*</td>
<td>31</td>
<td>63</td>
</tr>
<tr>
<td>2015*</td>
<td>51</td>
<td>41</td>
</tr>
<tr>
<td>2016**</td>
<td>59</td>
<td>33</td>
</tr>
</tbody>
</table>

Respondents’ Attitudes Regarding Different Groups of Immigrants

The questions used in tables 1, 2 and 3 consider immigrants as a single group. This section considers U.S. residents’ perceptions of immigration levels and the contributions of individuals from different immigrant-classifications.

In table 4, respondents provide their views of the appropriate levels of immigration from five geographic regions of the world, and from two sets of “religiously defined” countries. Over 60% of respondents indicate that the current levels of immigration from Africa, and Asia are “about right.” Almost 70% of respondents indicate that the current levels of immigration from Europe and “Predominantly Christian” countries are about right.

Table 4. Respondents’ Perception of the Number of Immigrants Coming to the U.S. From Select Immigrant-Source Regions

<table>
<thead>
<tr>
<th>Region</th>
<th>Africa</th>
<th>China &amp; Asia</th>
<th>Europe</th>
<th>Mexico &amp; Central America</th>
<th>Middle East</th>
<th>Pred. Muslim</th>
<th>Pred. Christian</th>
</tr>
</thead>
<tbody>
<tr>
<td>Too low</td>
<td>11</td>
<td>7</td>
<td>14</td>
<td>4</td>
<td>8</td>
<td>7</td>
<td>15</td>
</tr>
<tr>
<td>About right</td>
<td>62</td>
<td>61</td>
<td>67</td>
<td>40</td>
<td>44</td>
<td>41</td>
<td>68</td>
</tr>
<tr>
<td>Too high</td>
<td>18</td>
<td>24</td>
<td>12</td>
<td>46</td>
<td>33</td>
<td>34</td>
<td>10</td>
</tr>
<tr>
<td>Ban All</td>
<td>6</td>
<td>5</td>
<td>4</td>
<td>7</td>
<td>12</td>
<td>15</td>
<td>4</td>
</tr>
</tbody>
</table>

Source: Cooper et al (2016).

About one-third of respondents indicate that immigration from Middle Eastern, and predominantly Muslim, countries are too high, while 46% believe that too many immigrants come from Mexico & Central America. Twelve percent would ban immigration from the Middle East, and 15% would ban immigration from all predominantly Muslim countries. A small portion of respondents that would ban immigration from all regions.

Table 5 provides respondents’ perceptions of the contributions to the U.S. made by immigrants from five separate geographic regions. Consistent with the results in table 4, none of the regions in table 5 received a majority of positive responses. Immigrants from Asia and Europe receive higher positive response rates than those from the other regions, and they receive the lowest negative rates. Latin American and Middle Eastern immigrants have most negative responses. Fifty percent of respondents expressed neutral views of African immigrants’ contributions.
Table 5. Respondents’ Perceptions of the Impacts of Immigrants Originating from Different Source Regions

<table>
<thead>
<tr>
<th>Source Region</th>
<th>Africa</th>
<th>Asia</th>
<th>Europe</th>
<th>Latin America</th>
<th>Middle East</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mostly Positive</td>
<td>26</td>
<td>47</td>
<td>44</td>
<td>26</td>
<td>20</td>
</tr>
<tr>
<td>Neutral</td>
<td>50</td>
<td>39</td>
<td>45</td>
<td>35</td>
<td>39</td>
</tr>
<tr>
<td>Mostly Negative</td>
<td>22</td>
<td>11</td>
<td>9</td>
<td>37</td>
<td>39</td>
</tr>
</tbody>
</table>


The positive responses for European immigrants is not surprising; however, the positive response for Asian immigrants is noteworthy given the past treatment of Asia in American immigration policy. The high negative responses for immigrants from Middle Eastern and Predominantly Muslim countries may, in part, be due to the fear of the terrorist group ISIS, or other terrorist groups, operating in the region. Fifty-one percent of U.S. residents reported being at least somewhat worried about Terrorism (Cooper et al., 2015). During 2015, a migrant crisis emerged in Europe as an estimated 1.3 million individuals sought asylum in Europe. Connor (2016) indicates that slightly more than half of those refugees came from Syria (378,000), Afghanistan (193,000) and Iraq (127,000). Concern for terrorism in the U.S. has tended to be focused on the potential for ISIS terrorists to enter the U.S. posing as Syrian refugees.

On November 13, 2015, terrorists launched attacks in Paris, France killing 130 people and wounding hundreds. Slightly less than three weeks later, on December 2, an American-born man (with Pakistani parents) along with his Pakistani-born wife attacked a facility in San Bernardino, CA killing 14 people and wounding 22 others. Earlier on the day of the attack the wife had pledged allegiance to the Islamic State on Facebook. Given the timing of the San Bernardino attack, one might think it was motivated in response to the Paris attacks.

Ironically, on the day of the attack, the Pew Research Center began its December 2-6 survey of the most important issues facing the U.S. In this survey, Terrorism jumped to the Number 1 issue with a 16% response rate. Immigration remained lower down the list with a response rate of 5% but within a tightly grouped set of 10 issues with response rates ranging from 4% to 9%. On December 7, 2015, DJT called “for a total and complete shutdown of Muslims entering the U.S.” (Diamond, 2015).

The high negative responses for Latin America may have been influenced by the press coverage of 20,000 unaccompanied children from the region crossing the U.S. border in May and June of 2014, and the ultimate influx of 60,000 children (Lee, 2015). These unaccompanied children were (technically) undocumented immigrants (referred to casually as “illegals”). Some people argued that these unaccompanied children were refugees fleeing conditions in their native countries. The children came predominantly from Honduras, El Salvador and Guatemala, countries with murder rates among the highest in the world (Lee, 2015). Rush (2016) argued that the influx was “nothing but a
disguised vehicle for family reunification." Immigration and/or illegal immigration rose in polls to number 2 in July, 2014 and to number 3 in September, 2014. In October 2014, "immigration reform" was ranked number 3.

If it is determined that people fleeing their home country satisfy the conditions of the 1951 Convention on the Status of Refugees and the 1967 Protocol on the Status of Refugees then they qualify for formal “Refugee” status under those statutes. In this case the signatories to the Convention and Protocol have a responsibility to accept and assist these immigrants.5

A centerpiece of the anti-immigration campaign has been the presence in the U.S. of a large number of undocumented immigrants. He has proposed deporting “all illegals,” and building a Wall along the entire U.S.-Mexico border. Recent estimates of the number of undocumented immigrants in the U.S. indicate that the number has dropped below 11 million to 10.9 million.

Table 6 shows that there is very strong public support for establishing a pathway to legal status which would allow undocumented immigrants to stay in the U.S legally. The fraction of respondents who agree with this policy rose from 71% in 2013 to 75% in 2016. Those saying undocumented should not be allowed to remain in the country legally fell from 27% to 23% in 2016. The spread increases from a 44-point difference to a 52-point one in the three year interval.

<table>
<thead>
<tr>
<th></th>
<th>Should be Allowed to Stay Legally</th>
<th>Should not be Allowed to Stay Legally</th>
</tr>
</thead>
<tbody>
<tr>
<td>2013</td>
<td>71</td>
<td>27</td>
</tr>
<tr>
<td>2016</td>
<td>75</td>
<td>23</td>
</tr>
</tbody>
</table>

Source: Jones (2016).

Respondents’ Political Affiliation and Their Perceptions of Immigrant Groups

The previous discussions considered the views of U.S. residents pooled together without concern for individual characteristics. Thus the responses are possibly the averages of quite divergent views within the population. If distinct groups of individuals have significantly different views then the averages will not capture the division.

This section considers the effects of U.S. respondents' political affiliation on their attitudes of towards immigration. Table 7 gives the response rates for those respondents agreeing that "Immigrants Strengthen the Country through hard work and talents." The response rates are given for the set of (All) respondents and according to their political affiliation as Democrats or Republicans. As a group, almost 60% of respondents answered affirmatively (also shown in table 3). However, this result masks
a very significant division of opinion based upon political affiliations. The affirmative response rate for Democrats was 78%, and it was 35% for Republicans – a 43 point spread.

Table 7. Respondents’ Political Affiliation and Response Rates of those Who Agree that Immigrants Strengthen the U.S. through Hard Work and Talents

<table>
<thead>
<tr>
<th>Group</th>
<th>Strengthen the Country through their hard work and talents</th>
</tr>
</thead>
<tbody>
<tr>
<td>All</td>
<td>59</td>
</tr>
<tr>
<td>Democrat</td>
<td>78</td>
</tr>
<tr>
<td>Republican</td>
<td>35</td>
</tr>
</tbody>
</table>

Source: Jones (2016)

Table 8 details the difference between Democrat and Republican respondents' perceptions of Latin American immigrants.

Table 8. Respondents’ Political Affiliation and Their Perception of Latin American Immigrant-Impacts

<table>
<thead>
<tr>
<th></th>
<th>Mostly Negative</th>
<th>Mostly Positive</th>
<th>Neutral</th>
</tr>
</thead>
<tbody>
<tr>
<td>All</td>
<td>37</td>
<td>26</td>
<td>35</td>
</tr>
<tr>
<td>Republican</td>
<td>58</td>
<td>13</td>
<td>35</td>
</tr>
<tr>
<td>Democrat</td>
<td>23</td>
<td>36</td>
<td>39</td>
</tr>
<tr>
<td>Independent</td>
<td>35</td>
<td>27</td>
<td>36</td>
</tr>
</tbody>
</table>


The aggregate (“All”) responses given in table 5 for Latin America are repeated here for ease of comparison. Almost 60% of Republicans viewed these immigrants negatively, while slightly less than 25% of Democrats viewed Latin American immigrant-impacts negatively. However, only 36% of Democrats express a positive view of the impacts of immigrants from Latin America. The response rates of Independents are statistically equivalent to the overall averages. The response rates for those holding Neutral views are very similar across the groups.

Table 9 shows the differences in respondents' views of the behaviors of undocumented immigrants in three areas of concern. In general, both Republicans and Democrats have favorable views of the undocumented immigrants in the three areas listed. A lower proportion of Republicans agree that the undocumented immigrants as honest and hard-working, and are no more likely to commit serious crimes than U.S. citizens than is the case of the Democrats. The point-spread between responses are 22 and 28. The majority of Trump supporters believe that undocumented immigrants are more likely to commit serious crimes.
Table 9. Respondents’ Political Affiliation and Their Views of “Undocumented Immigrants” Impacts

<table>
<thead>
<tr>
<th>Group</th>
<th>All % Agree</th>
<th>Dem or Lean Dem % Agree</th>
<th>Rep or Lean Rep % Agree</th>
<th>Trump Supporter % Disagree</th>
<th>Trump Strong Supporter % Disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mostly fill jobs Not wanted by U.S. citizens</td>
<td>71</td>
<td>65</td>
<td>63</td>
<td>35</td>
<td>41</td>
</tr>
<tr>
<td>Are as honest, hard-working as U.S. citizens</td>
<td>76</td>
<td>87</td>
<td>65</td>
<td>33</td>
<td>34</td>
</tr>
<tr>
<td>No more likely Than U.S. citizens to commit serious crimes</td>
<td>67</td>
<td>80</td>
<td>52</td>
<td>50</td>
<td>59</td>
</tr>
</tbody>
</table>

Source: PRC (2016).

Table 6 showed that (in 2013 and in 2016) the majority of respondents favored allowing undocumented migrants to remain in the country legally if they satisfy certain conditions. Table 10 examines the preferences of respondents according to their political affiliations, and their preferred Presidential candidate. The results show a 30 point spread between the Democrat response rate and the Republican one. However, the majority (almost 60%) of Republicans believe that undocumented immigrants should be allowed to stay if they meet certain requirements.

Table 10. Respondents’ Attitudes to Treatment of “Undocumented Immigrants Who Meet Certain Requirements”

<table>
<thead>
<tr>
<th>Group</th>
<th>Should be Allowed to Stay Legally</th>
<th>Supporter Group</th>
<th>Should be Allowed to Stay Legally</th>
<th>Supporter Group</th>
<th>Should be Allowed to Stay Legally</th>
</tr>
</thead>
<tbody>
<tr>
<td>All</td>
<td>75</td>
<td>Democrat</td>
<td>88</td>
<td>Republican</td>
<td>59</td>
</tr>
<tr>
<td>Democrat</td>
<td>88</td>
<td>Clinton</td>
<td>87</td>
<td>Trump</td>
<td>47</td>
</tr>
<tr>
<td>Republican</td>
<td>59</td>
<td>Sanders</td>
<td>90</td>
<td>Cruz</td>
<td>58</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Kasich</td>
<td></td>
<td></td>
<td>75</td>
</tr>
</tbody>
</table>


Statistically, there is no significant difference between the overall Democratic response and those of Clinton or Sanders supporters. For the Republicans, the response rates reveal a spread of almost 30 points from Trump supporters to Kasich supporters, and those of Cruz supporters’ being statistically equivalent to the Republican average. The Republican results provide insight to the internal divisions of the Republicans.
Respondents’ Personal Attributes and Their Perceptions of Immigrant

The preceding discussion considered perceptions of immigrants by individuals given their political affiliations. Other individual attributes also may influence responses. Table 11 provides the perceptions of immigrants’ contributions to U.S. society by various subsets of respondents based upon a PRC survey conducted during the March 10 - April 6, 2015 time period which preceded DJT’s entry into the Presidential campaign.

The survey reveals a gender difference in opinions with 50% of the men responding that immigrants make the US better, but only 41% of women concurring. Racial/ethnic differences influence responses. A plurality (44%) of Black respondents, and a majority (61%) of Hispanic respondents indicated positive contributions of immigrants. White respondents show a statistical tie in opinions with 43% reporting negative impacts, and 41% reporting positive impacts of immigrants. Younger respondents are more likely to see immigrants as making the US better than see them making it worse. A majority (54%) of the 18-29 year age group believe immigrants make the US better-- outnumbering those who think they make it worse by two to one. The over 65 group is equally split with each of the positive and negative positions receiving 39% support. The slight reversal between the 50-64 and over 65 age groups is odd but the difference in rates may not be statistically significant. Almost two-thirds of college degree recipients indicate that immigrants make the US better, while almost half of those with High School education, or less, say immigrants have a negative impact.

**Table 11. Respondents’ Personal Attributes and Perceptions of Immigrants’ Long Run Impacts on Society**

<table>
<thead>
<tr>
<th></th>
<th>Make U.S. Society Worse</th>
<th>Make U.S. Society Better</th>
<th>Not much effect</th>
</tr>
</thead>
<tbody>
<tr>
<td>All</td>
<td>37</td>
<td>45</td>
<td>16</td>
</tr>
<tr>
<td>Men</td>
<td>34</td>
<td>50</td>
<td>15</td>
</tr>
<tr>
<td>Women</td>
<td>39</td>
<td>41</td>
<td>17</td>
</tr>
<tr>
<td>White</td>
<td>43</td>
<td>41</td>
<td>13</td>
</tr>
<tr>
<td>Black</td>
<td>25</td>
<td>44</td>
<td>28</td>
</tr>
<tr>
<td>Hispanic</td>
<td>20</td>
<td>61</td>
<td>17</td>
</tr>
<tr>
<td>Ages 18-29</td>
<td>27</td>
<td>54</td>
<td>18</td>
</tr>
<tr>
<td>30-49</td>
<td>38</td>
<td>44</td>
<td>15</td>
</tr>
<tr>
<td>50-64</td>
<td>43</td>
<td>41</td>
<td>14</td>
</tr>
<tr>
<td>65--</td>
<td>39</td>
<td>39</td>
<td>16</td>
</tr>
<tr>
<td>High school Grad or less</td>
<td>46</td>
<td>32</td>
<td>19</td>
</tr>
<tr>
<td>2-yr degree/ Some college</td>
<td>38</td>
<td>44</td>
<td>16</td>
</tr>
<tr>
<td>Bachelor’s degree+</td>
<td>23</td>
<td>64</td>
<td>11</td>
</tr>
</tbody>
</table>

Table 12 provides respondents’ support for building DJT's Wall along the U.S.-Mexico border from three 2016 surveys conducted during three separate time periods and by two different pollsters: 1) March 17-27 by PRC1 (Jones, 2016), 2) April 4–May 2 by PRRI (Cooper et al., 2016), and 3) August 9-16 by PRC2 (PRC, 2016). The bombing of the Brussels Airport and Metro occurred during the PRC1 survey period.

The interesting features in table 12 are found in the differences in the results for a given attribute across of the three surveys rather than in the differences within the surveys across attributes. For the attributes common to the three surveys, the results for the majority/minority responses are in general agreement. For example, the majority of “All”, White, Black, Hispanic, and Democrat respondents in each survey oppose building the Wall. Not surprisingly, Republicans and Trump Supporters favor building the Wall.

However, the response rates across the surveys for some groups show relatively wide variations. For example, in each survey, the overall (All) Oppose response rates are within 2 points of 60% which is in the surveys’ margins of error. The PRRI Favor for “All” exceeds that of PRC1 by 7 points and PRC2 by 5.

### Table 12. Residents’ Personal Attributes and Positions on Building “Trump’s Wall”.

<table>
<thead>
<tr>
<th>Group</th>
<th>PRC1 3/17-27/16</th>
<th>PRRI 4/4/16-5/2/16</th>
<th>PRC2 8/9-16/16</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Oppose</td>
<td>Favor</td>
<td>Oppose</td>
</tr>
<tr>
<td>All</td>
<td>62</td>
<td>34</td>
<td>58</td>
</tr>
<tr>
<td>White</td>
<td>53</td>
<td>43</td>
<td>52</td>
</tr>
<tr>
<td>Black</td>
<td>82</td>
<td>13</td>
<td>72</td>
</tr>
<tr>
<td>Hispanic</td>
<td>81</td>
<td>16</td>
<td>71</td>
</tr>
<tr>
<td>Rep/Lean Rep</td>
<td>33</td>
<td>63</td>
<td>61</td>
</tr>
<tr>
<td>Trump Supporter</td>
<td>14</td>
<td>84</td>
<td>82</td>
</tr>
<tr>
<td>Trump Strong Supp.</td>
<td></td>
<td>8</td>
<td>91</td>
</tr>
<tr>
<td>Dem/Lean Dem</td>
<td>84</td>
<td>13</td>
<td>75</td>
</tr>
<tr>
<td>Clinton Supporter</td>
<td>83</td>
<td>15</td>
<td></td>
</tr>
<tr>
<td>Clinton Strong Supp.</td>
<td>91</td>
<td>7</td>
<td></td>
</tr>
<tr>
<td>Independent</td>
<td></td>
<td>59</td>
<td>40</td>
</tr>
</tbody>
</table>


However, the response rates for Black and Hispanic respondents opposing the Wall in the PRRI survey are 10 points lower than in the PRC1 survey. The drop in the PRRI White oppose-response rate is only one point from; however, the Whites “favor the Wall” rate is five points higher in PRRI than in PRC1. The combination reduces the White “oppose-favor” spread in the PRRI to four from 10 points in PRC1. The PRRI response rate for Democrats opposing the Wall is 9 points lower than PRC1 and PRC2. The PRRI response rate for Democrats favoring the Wall is 10 points higher than PRC1 and 11 points higher than PRC2. This reduces the Democrat’s Oppose-Favor point-spread from 71 in PRC1, and 70 in PRC2, to 52 in PRRI. The results for responses by
Republicans, and by Trump Supporters, also show lower majority rates in PRRI than in the PRC surveys. However, the drop is just two points in both cases which is less than the surveys’ margins of error. There appears to be a systematic difference between the results of the two surveys. The reasons are not immediately apparent. Since the two surveys were taken with a six week time period with the second starting a week after the first was completed, timing should not be a factor apart from the previously mentioned attacks in Europe. The sample sizes were: 2,607 in PRRI, 2,254 in PRC1, and 2,010 in PRC2. PRRI used both live telephone interviews and a self-administered online design survey. Both PRC surveys used telephone interviews using both landline and cell phones. A major difference in the survey may follow from PRRI’s mission; however, Cooper et al (2016) were silent on the responses of religious groups for building the Wall. Perhaps there was nothing to discuss.

In his campaign, DJT has proposed banning refugees from Muslim countries in general and from Syria in particular. For Syria he proposed a complete ban on their refugees. For Muslim countries he softened his proposal to a temporary ban. Table 13 provides Respondents’ views of these proposed bans for these immigrant groups.

Table 13. Respondents’ Attributes and Their Views of Having Special Entry Restrictions for Syrian Refugees and Muslims

<table>
<thead>
<tr>
<th>Group</th>
<th>Stop Syrian Refugees</th>
<th>Temporary Ban Muslims</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Oppose</td>
<td>Favor</td>
</tr>
<tr>
<td>All Americans</td>
<td>55</td>
<td>44</td>
</tr>
<tr>
<td>White</td>
<td>53</td>
<td></td>
</tr>
<tr>
<td>Black</td>
<td>62</td>
<td></td>
</tr>
<tr>
<td>Hispanic</td>
<td>53</td>
<td></td>
</tr>
<tr>
<td>White working-class</td>
<td>53</td>
<td>54</td>
</tr>
<tr>
<td>White Coll.-educated</td>
<td>67</td>
<td>32</td>
</tr>
<tr>
<td>Republican</td>
<td>66</td>
<td>64</td>
</tr>
<tr>
<td>Democrat</td>
<td>70</td>
<td></td>
</tr>
<tr>
<td>Independent</td>
<td>43</td>
<td>58</td>
</tr>
<tr>
<td>Trump Supporters</td>
<td>78</td>
<td></td>
</tr>
<tr>
<td>White Evangelical Prot.</td>
<td>54</td>
<td></td>
</tr>
<tr>
<td>White Main-line Protestant</td>
<td>53</td>
<td></td>
</tr>
<tr>
<td>Black Protestant</td>
<td>36</td>
<td>73</td>
</tr>
<tr>
<td>White Catholics</td>
<td>51</td>
<td>49</td>
</tr>
<tr>
<td>Hispanic Catholics</td>
<td>45</td>
<td>75</td>
</tr>
<tr>
<td>Non-Christian Religion</td>
<td>73</td>
<td></td>
</tr>
<tr>
<td>Religiously Unaffiliated</td>
<td>67</td>
<td>72</td>
</tr>
</tbody>
</table>

Source: Cooper et al (2016)

A majority of “All Americans,” and the three ethnic/racial sub-groups opposed a ban on Syrian refugees. More than 60% of Black respondents were opposed to the ban.
Slightly more than two-thirds of the White college educated respondents were opposed to the ban. A majority of White working-class favored the ban. Political affiliations show 70% Democrats opposing the ban and two-thirds of Republicans favoring the ban. Support for the ban by Independents falls short of a majority by seven points. The discussion does not include the opposition rate for Independents. However, since 58% of Independents opposed the Temporary ban on Muslims, and 59% opposed the Wall, it seems reasonable to presume that the majority of Independents would oppose the ban on Syrians at a similar rate. More than three-quarters of Trump supporters favor the both the ban on Syrians and the Temporary ban on Muslims. The general response pattern for those favoring the Temporary ban on Muslims is the same as those favoring the Syrian ban: White working-class, Republican, Trump Supporters, White Evangelical Protestants, and White mainline Protestants. White Catholics appear to be split with the majority opposing the Syrian ban but supporting the Muslim restraint. However, the Syrian ban response of the White Catholics is a statistical tie. About 75% of Black Protestants and Hispanic Catholics oppose the Muslim restriction, and given their low response rates for favoring the Syrian ban, at least a majority of these groups is likely opposed to the Syrian refugee ban. Clear majorities of individuals from non-Christian Religions and those with “no religious affiliation” oppose both restrictions.

**Conclusion**

This paper has examined whether, or not, immigration became a heated issue in the 2016 Presidential Campaign following the entry of Donald Trump (with his emphasis on the evils of immigration and immigrants) as a Republican candidate. The aggregate statistical information shows that U.S. society is not overly concerned about immigration in general. In the June 2016 Gallup Poll of U.S adults, 72% of respondents thought immigration was a good thing for the country and 25% thought it was a bad thing.

Despite being viewed as a “good thing” by the majority of respondents, relatively few support increasing immigration. In June 2016, only 21% favored an increase in immigration; however, 38% of adult respondents thought immigration should be decreased, and 38% thought it should be “kept at its present level” (Newport, 2016). This is statistically equivalent to the Gallup Poll’s rates in 2015 and to the Esipova et al. results from 2012-14.

The general aggregate results mask the heated nature of the presidential Campaign rhetoric. Clearly, there are significant differences between the views of Republicans and Democrats. However, the difference between the Democrats and the Trump Supporters is greater. In addition to the difference in response rates, the views of the Trump Supporters and Clinton Supporters are significantly more intense, and more personal.
FOOTNOTES

1. Given the sensitive nature of the material in this paper, a disclaimer and acknowledgements are appropriate. I am not a Democrat nor a Republican. I have been an immigrant with residency status in two countries, and currently have that status in the U.S.

2. The term “Respondents” refers to “U.S. Residents” in the rest of the paper.

3. ISIS refers to the “Islamic State in Iraq and Syria” or “Islamic State of Iraq and al-Sham (an old Arabic term for the region). The terrorist group is also known by other titles. ISIL refers to the “Islamic State in Iraq and the Levant” (Levant is a more modern term for the region). The group refers to itself (in English) as the Islamic State. Some western politicians refer to the group as Daesh, a term the group considers derogatory. For a more complete discussion see Vultaggio (2015).

4. Al Qaeda was the main terrorist threat for the U.S. until the rise of ISIS. The two organizations are now competitors, and ISIS is dominating.

5. PRRI is the Public Religion Research Institute, and is “a non-profit, partisan organization dedicated to research at the intersection of religion, values and public life.”

REFERENCES

Connor, P. (2016). Number of Refugees to Europe Surges to Record 1.3 Million in 2015. www.pewglobal.org/2016/08/02/number-of-refugees-to-europe-surges-to-record-1-3...


A Feasible Study of the Carrefour Direct Purchase Model for Fresh Produce in the Liuzhou Area

Jing Huang
Central Washington University
Introduction

Direct Purchase establishes a direct supply line between farmers and retail markets. By skipping intermediates, it optimizes the profits of farmers and retailers and improves food safety and freshness for customers.

Carrefour group, the second biggest retailer in the world, has established a successful direct purchase operation in Hunan province where they operate four supermarkets. The FuRong Store established in 2009 a pilot project was so successful in delivering high quality product and enhancing the competitiveness of local producers that its initial critics became supporters. The FuRong Store now directly contracts for vegetables and fruit with local Specialized Farmer Cooperatives (SFC) for all four Hunan supermarkets.

This paper examines the feasibility of adapting the Carrefour direct purchase model developed at the FuRong Store for use by Liuzhou Supply and Marketing Cooperatives (LZ COOP) in Liuzhou City and concludes with recommendations to LZ COOP for a Direct Purchase Model for Liuzhou based on a strategic partnership between the cooperatives fresh-supermarkets and area SFCs.

Carrefour Combined Purchase/Sales Model and City Commerce Unit

The model is organized around the City Commerce Unit (CCU) at the FuRong. CCU optimizes cash flow and profits by maintaining the legal autonomy of each supermarket, coordinating promotional activities and increasing bargaining power through bulk purchase for multiple outlets. CCU has two divisions: Food and Non-food. The Food Division that includes groceries and fresh produce is run by a store level Food Manager. The neat level is the sales management level. Purchasing negotiators are the sales managers. There are several negotiator/sales managers dealing with fresh produce who are responsible for:

a. Since stores no longer collect from suppliers, they are responsible for store budgets.

b. Promotion plans for each store.

c. Produce and distribute weekly Leaflet/flyer.

d. Supervise sales promotion staff in each store.

The CCU employs the Carrefour “combined purchase-sales” model that separates operations management from purchase/sales management with purchasing leading the company. Operations’ service and support mission focuses on point of sale terminals and deals strictly with logistics. This Carrefour model has several advantages: (1) It eliminates the delivery conflicts, (2) speeds market reaction time, (3) integrates resource supply, (4) forges strategic partnerships with suppliers, (5) unifies merchandise management, and (6) curbs corruption.

Direct Purchase (DP) Process

The traditional fresh produce supply chain required at least 4 intermediaries between the supplier and the supermarket: Brokers→Wholesaler→Wholesale Market→Supermarket

Supplier. All these intermediaries took a share of the profits. The direct supply model
achieves a competitive price advantage of 20% ~ 30% by eliminating these intermediaries, but as Lars Olofsson, the former Chief Executive Officer of Carrefour SA, promised Carrefour does not increase its profits; the savings are divided between the farmers and customers. The Direct Purchase goal is “zero-cost-supply” through improving the relationships between the company and the suppliers. This will be achieved through cooperation focused on the future that will shift the emphasis from short-term gains to the maintenance of a stable supply chain with long-term benefits.

**DP Suppliers**

Currently the CCU in FuRong purchases fresh produce from four types of supplier organization.

<table>
<thead>
<tr>
<th>No.</th>
<th>Purchase Model 1</th>
<th>Purchase Model 2</th>
<th>Purchase Model 3</th>
<th>Purchase Model 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Subjec ts</td>
<td>Local Supplier ↔ Companies</td>
<td>Wholesalers ↔ Companies</td>
<td>Collectors ↔ Companies</td>
<td>SFCs ↔ Companies</td>
</tr>
<tr>
<td>Key point</td>
<td>Normal purchase with local supplier in each city</td>
<td>Wholesalers and wholesale markets are located in the city, and offer multi-products and buy from collectors or farmer cooperatives located outside their province.</td>
<td>Collectors are located in the production areas or between production sites and city wholesale markets. They collect products from local farmers or cooperatives, but do not produce by themselves.</td>
<td>Farmer cooperatives are very small organizations with little resources at the present in China. Farmers work for themselves and most of the time sell local. They produce and sell by themselves.</td>
</tr>
</tbody>
</table>

The long-term goal is to move to exclusive reliance on Specialized Farmers Cooperatives (SFCs)

**DP Process**

**(1) Selection**

Main focus on Leafy, Cabbage, Radish, Cucumber, Tomato, Broccoli, Season Fruit, etc.

These are criteria for selection:

a. Top family items in vegetables section;
b. HWB (housewife basket) Items require aggressive price image;
c. Short shelf-life items need to be sourced locally;

(2) Working with local authorities

In order to develop the SFC system and until it is in place working with local authorities to obtain contact lists and explaining that DP is supported by National Government because it helps rural development by increasing farm income and improving the quality and freshness produce for final consumers is an essential step for negotiators.

<table>
<thead>
<tr>
<th>Local Direct Purchase List</th>
</tr>
</thead>
<tbody>
<tr>
<td>SFCs Name</td>
</tr>
<tr>
<td>1 ****SFCs</td>
</tr>
<tr>
<td>2 ****SFCs</td>
</tr>
<tr>
<td>3 ****SFCs</td>
</tr>
</tbody>
</table>

(3) DP at the source of fruit and vegetable product

The core of this project is buying direct. The approach avoids all the middle men in the supply chain and buys directly from the farm. This is accomplished through direct contracting between DP negotiators and the SFCs. Although, as shown in Figure 3, collectors are not parties to negotiations, it is very important to pay close attention to them as they will get in the way as they try to maintain their position with farmers.
(4) Combined inspection/audit: Local authorities, CCU and store

When the authorities concerned give contact information, the DP negotiator must organize a visit to producers (farmers) with the authorities. Each visit to producers shall be done with: 1) the authorities concerned; 2) CCU; and 3) Store (participation of store department managers will improve store implement)

The DP negotiator audits the farmer’s process of production and the quality management. A pesticide analysis is to be done to confirm product safety.

(5) Decide and contract for product

If the supplier meets the store’s criteria of selection: be SFCs, good production process, good management of quality and safety, reliability and potential to supply store’s needs an item ID card based on unified standards will be issued.

---

**Figure 4 Item ID Card**

<table>
<thead>
<tr>
<th>Product illustrator</th>
<th>No.</th>
<th>Identification</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1.1</td>
<td>Product origin:</td>
<td>Shandong</td>
</tr>
<tr>
<td></td>
<td>1.2</td>
<td>Product name:</td>
<td>Fuji Apple</td>
</tr>
<tr>
<td></td>
<td>1.3</td>
<td>Reference standard:</td>
<td>NY 5011-2006</td>
</tr>
<tr>
<td>1.4</td>
<td>Variety name:</td>
<td>Pome fruit</td>
<td></td>
</tr>
<tr>
<td>1.5</td>
<td>Product size:</td>
<td>Grade 1 Single apple weight: more than 150g</td>
<td></td>
</tr>
<tr>
<td>1.6</td>
<td>Colour:</td>
<td>Red, Pink, Ruby</td>
<td></td>
</tr>
<tr>
<td>1.7</td>
<td>General shape:</td>
<td>Round</td>
<td></td>
</tr>
</tbody>
</table>

---

**Direct Purchase**

Collectors are not the target

- Farmer
- Collector (1)
- Collector (2)
- Wholesale market
- WHOLESALER
- CARREFOUR
This standard come in 2009 year, the private archives of FuRong Store of Carrefour Supermarket.

(6) Purchase price negotiation

There is an additional advantage to SFC purchases since the tax on purchase price (PP) has been eliminated to promote farmers’ production. Still from the CCU at business perspective this PP savings must be factored in along with benchmark local prices and quality to arrive at a fair price.

(7) Weekly and monthly quantity commitment

The DP negotiator works with the supplier to set weekly and/or monthly delivery quantities for product and with the stores to insure that their volume forecasts can be met before desired delivery day.

(8) Quality control

Quality control is to be done when loading at the point of origin, especially for the first loads. There are some key points that need to follow:

a. Training of the farmers (Item specification shall be explained to the farmers with an item ID card). If the farmer did not supply products to supermarket before, it is often difficult for them to deliver a large volume of product at a given grade

b. Ensuring quality for stores;

c. Issuing a quality report from stores.

Ensuring the product quality, before a SFCs is eligible for supermarket’s selection it must pass all of the following product quality requirements (see Figure 3): It requires full licenses with red stamp: SFCs Business License, Self-Production and Sale Certificate, Tax License National, Tax License Local and Organization Code Certificate. Then, it has to get a 100% audit with an audit report, including photos in each key checking point. In addition, a 100% pass text is important, that means mini-lab quick test for pesticides residue, according to GB2762 heavy metal and GB2763 pesticides. Meanwhile, there is received checking by ID card about brix, size, color, packaging, defects, and etc.
(9) Payment policy

Payment particulars should be stated in the contract. When meeting the local authorities, the negotiator should put pressure on them to allow SFCs to invoice on their own.

(10) Report to national DP team

So as to follow the evolution and participation of DP, CCU fresh managers will send a weekly report to national DP team.

Relevant Provisions

In order to avoid some supermarket staff using this for their own self-interests, which hurts farmers' interests, there are the following provisions issued for CCU DP team:

1) No deduction or compensation will be taken into account without written validation (after consultation with suppliers).
2) The quantity delivered to each warehouse or address of delivery will be confirmed between CCU and store. This final quantity will then be paid to the supplier, and not the quantity keyed-in in stores’ computer system.
3) Quality control has to be done in CCU warehouse or address of delivery on the day of delivery in the city immediately. No quality claim will be accepted in the following days after delivering to stores.
Synthesis of the 10 steps

The DP negotiator must define clearly the obligations of the supermarkets, the local authorities, and SFCs to develop a "win-win-win" operation: Farmers increase their income, local authorities help their farmers and the local economy and supermarkets’ customers are satisfied to find local, quality products at a better price.

Carrefour Model in Liuzhou

Liuzhou Supply and Marketing Co-operatives (LZ COOP) is a municipal-government-controlled organization at the prefecture level its mission is to accelerate the development of modern agriculture. The COOP system seeks 1) to improve the Agricultural industry, 2) to construct the Countryside, 3) and to maintain the economic viability of individual Farmers.

According to the 13th Five Year Plans of Liuzhou, LZ COOP is to create a systematic management system and accelerate the formation of a comprehensive, large-scale, and sustainable agricultural service system. The program has two layers: the internal layer which tries to improve the COOP-owed assets and the external layer which guides the development of the Specialized Farmers Cooperatives (SFCs).

External conditions are favorable. Unlike the non-agricultural sector where corporate structures have proven to work best in the new market based economy, the cooperative system has shown that it is still the most suitable form of economic organization for the agricultural sector in China. This is because cooperatives can better organize the scattered farmers into larger mutually beneficial production units, so that appropriate technology can make them effective players on the stage of free market economics. This allows them to achieve relative equality in terms of socio-economic status with urban residents. From a free-market point of view, cooperatives effectively empower farmers by reducing costs and increasing the income in all aspects of agricultural production: ordering, shipping, purchasing, quality control, pest control, purchase and operation of farm machinery, storage, processing, and sales. In this way, the cooperative system serves as a correction mechanism of the past disparity of negotiating power in market transactions by vastly improving the farmers’ bargaining position.

However, internal conditions present many challenges. First, the social bias of the difficult working and living conditions in the countryside and better pay in the city has exacerbated the problem that the primary cooperatives are less and less attractive to professionals entering the workforce. In most primary cooperatives, members with low education levels lack professional and technical guidance, which leads to small scale and nonstandard operations. Second, the four affiliated fresh produce supermarkets (fresh-supermarkets) managed by LZ COOP are at risk of failing
because of fierce competition from the traditional fresh product markets1 that is supported by longstanding habitual daily shopping behaviors (Reardon, Timmer & Minten, 2012); and the widespread belief that produce in the “supermarket” is not fresh anymore, no matter what kind of supermarket it is. This along with higher prices due to increased costs hampers internal development portion of LZ COOP’s mission.

The Carrefour DP model provides a way out if it can be adapted to the conditions in Liuzhou: LZCOOP has to be able to establish a direct supply from farmers to retail markets. Then by optimizing the supply chain and skipping intermediates it will be able to solve the internal problem by lowering prices. The remaining savings could be used to further improve external conditions by increasing farm profits and operations to improve food safety and freshness providing customers the high quality products at competitive prices that overtime changes the image citizens have about fresh supermarket produce.

The question is: Can the three existing components (4 stores, Cooperative Headquarters and Farmers/SFCs) of the LZCOOP system accomplish these essential tasks? It appears that they can indeed develop the capacity to carry out all essential DP functions.

<table>
<thead>
<tr>
<th>Fresh-Supermarkets</th>
<th>Farmers</th>
<th>LZ COOP</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) To establish Special Unit for Commercial Management (CCU in the stores);</td>
<td>a) Join and consolidate Specialized Farmers Cooperatives;</td>
<td>a) Appoint store managers for Fresh-Supermarkets</td>
</tr>
<tr>
<td>b) Manage operations</td>
<td>b) Standardize the management more strictly than before;</td>
<td>b) Act as the local authority for farmers</td>
</tr>
<tr>
<td></td>
<td>c) Control product quality and packaging.</td>
<td>c) Manage the consolidation of SFCs</td>
</tr>
<tr>
<td></td>
<td>d) Meet product Classification criteria.</td>
<td>d) Create a central CCU within LZ COOP and manage the transition from store purchase/sales to LZ COOP purchase/sales.</td>
</tr>
</tbody>
</table>

Remark: Functions of Fresh-Supermarkets that are jointly owned by private entrepreneurs and LZCOOP.

1 The traditional fresh products market: it refers to an open, or semi-closed or closed, and fixed place taking the retail business which sales of vegetables, fruits, aquatic products, eggs, meat and meat relevant products, grain and oil and its relevant products, soy products, cooked food, spices, and other agricultural and food products.
Conclusion

The Carrefour DP model and CCU operation can be adapted to develop a COOP centered direct purchase system for the Liuzhou area. During the transition/developmental stages SFCs’ operation and management will be improved to meet the retailer/ marketing standards and as savings accrue through the elimination of middlemen they will be used to consolidate SFCs and to train and equip farmers to improve their market position and living standards in accordance with the LZ COOP’s original mandate.

Bibliography


Zhong, Zhen. (2014, November). Specialized Farmers’ Cooperatives Development in
It’s a Lego Life: The Building Blocks of Aging

by

Patricia M. Kirtley
Independent Scholar
William M. Kirtley
Central Texas College
Abstract

The authors discovered treasure, not made of gold, in the search for a way to organize information gained from an Aspects of Aging seminar presented at the 2016 National Technology and Social Science Conference in Las Vegas. Their review of the past helped them resolve the tensions of a lifetime. They found secrets of living longer and better. The authors gained an appreciation for the wisdom and understanding displayed by the elderly. There is so much to learn from those who have achieved significant levels of moral and spiritual development. The authors’ quest centered on the challenge and opportunity individuals face at nine stages of adult life. They used the theory of developmental psychologists to discover the lessons of life by examining personal, economic, and spiritual aspects of each stage in the life cycle. Like many developmental psychologists they included personal stories, in this case their own, to illustrate the challenges people face at each stage.

Introduction

The word “Lego” is a combination of two Danish words meaning, “play well.” This company is now the most recognized brand in the world and delights both children and adults who love to create and design using the interlocking plastic pieces. Inside each box are several numbered plastic bags and a visual, non-verbal booklet of instructions. The builder can carefully open the bags in numerical order and follow the directions or dump everything out and muddle along at his or her own pace. Most builders find a few directions are very helpful and prevent mistakes, frustration, and failure not to mention broken and lost pieces. Life itself is a great deal like a Lego kit. We hope this paper will help some individuals build and reinforce their lives and prepare a strong and resilient foundation for the future.

The authors provide the directions for a Lego life structure in the survey of the literature of developmental theory. They analyze the building blocks of the ages of life: the conflicted 20s, transitional 30s, mid-life 40s, triumphs and trials of the 50s, adjustments in the 60s, the serene 70’s, the awesome 80s, noble 90s, and the celebratory 100’s. The writers also give personal examples of their own lives for each of the stages. In so doing, they reviewed and reconciled the psychological tensions of a lifetime and, hopefully, provide valuable lessons for people from all the stages of life (Erickson, Erickson, & Kivnick, 1986, p. 141). The authors used developmental theory to analyze the stages of adult life according to the nature of each stage, as well as, health, economic, social, spiritual, and personal factors.

Survey of the Literature

Art appraisers determine the value of a painting through provenance. They research the chain of ownership for a particular work. This paper centers on the work of developmental psychologists who see life as a series of age-related transitions to periods in which people exhibit typical behavior patterns.

The ancients developed characterizations of the stages of human life. Solon, the Greek lawgiver, the Torah, and Shakespeare all note the division of the human lifespan into ages (Kohut, 2011). Sigmund Freud (1856-1939) developed a theory of psychosexual stages. Carl Jung (1875-1960) outlined a theory of adult individuation.
Jean Piaget (1896-1980) researched his theory of cognitive learning by observing his three children.

Erik H. Erikson (1902-1994) born of Jewish Dutch parents in Germany was most famous for his concept of identity crisis and his theory of the psychological development of human beings. Erikson, who never earned a bachelors degree began his career as an artist. A friend noticed his sensitivity to children and recommended he study at the Vienna Psychoanalytic Institute. He married his wife Joan, a Canadian artist and dancer in 1930 and immigrated to the United States in 1933.

Erikson based his theory of psychological development on Freudian principles. He posited each ego stage had its primacy at a particular age level or segment of the life cycle, from infancy to old age. Each stage has a conflict and, as it is resolved, basic strengths emerge (1989). Erikson acknowledged his theory relied on interviews and did not adequately explain how or why this development occurred (McLeod, 2013). In 1986, Erikson, along with his wife Joan and Helen Q. Kivnick, interviewed twenty-nine octogenarians for their seminal work, *Vital Involvement in Old Age*.

Joan M. Erikson (1903 -1997), an artist and craftswoman helped her husband develop the theory of the life cycle. In a poignant interview at the age of 92, after the death of her husband, she apologized for leading people to believe they could achieve wisdom in the last stage of life. Based on her experience, she argued eighty and ninety-year-old elders must review the crises of all the earlier stages of life before resolving the tension between despair and integrity and thus achieve wisdom (Erikson, J. 1995a & B).

Abraham H. Maslow (1908-1970) developed a hierarchy of needs, a positive account of human behavior (See Appendix A). He believed humans grew through five stages of needs to self-actualization, a stage where a person finds meaning in life. He studied fifty and sixty-year-old subjects. Maslow in *Toward a Psychology of Being* (1962), described those he believed were the most self-actualized as, those whose self-acceptance made it more possible for them “to perceive bravely the real nature of the world and also made their behavior more spontaneous, less controlled, less inhibited, less planned” (p. 139).

Daniel J. Levinson (1920-1994), a Yale University psychologist, was one of the founders of the field of adult development. He is also remembered for his studies on authoritarian personalities and development of the F scale. Levinson discussed the developmental tasks and/or crises one addresses within each stage, as well as, how they contribute to the progression of development. He based his best selling work, *The Seasons of a Man’s Life* (1978), on a series of one-hour interviews (N = 40). Before his death in 1994, he completed the manuscript of *The Seasons of a Woman’s Life* (1996), based on interviews of forty-five women. Judy D. Levinson, his spouse and collaborator, completed the book, which also made the bestseller list. They found women tend to follow the same age-related patterns as men. However, there were significant differences for women, due to childbirth and care.

Gail Sheehy borrowed Levinson’s theory of stages and transitions, added lively interviewees, and used the designer psychology of *Cosmopolitan* magazine to produce *Passages* (1974), a book designated as one of the most influential books of our times by the Library of Congress. Sheehy lacked the authority and understanding of developmental psychologists, although she did study under Margaret Meade. Sheehy
(1974) popularized the notion of mid-life transitions in an effort to better understand her own midlife crisis (xv).

Developmental psychologist Lawrence Kolberg (1827-1987) expanded Piaget’s theory of moral development. He used stories to illustrate moral dilemmas. Kolberg asserted moral reasoning had six stages, a process concerned with justice and reaching far into adulthood. His last stage centered on individual matters of conscience.

Ken E. Wilber (b. 1949) integrated several models of development into his post-modern, mega-theory (See Appendix B). Wilber (2014) in his YouTube video, Models of Development, argued all models have six to eight levels; one should not get bogged down with one model; an individual can be at different levels in different models; and emphasized transition periods can last from four to five years. In Eye to Eye (2011), Wilber observed how difficult it is to attain higher states of consciousness, “Since the Ultimate State of Consciousness is the Present State of Consciousness, there is obviously no way to cause, produce, effect, or manufacture that which is already the case—and even if you could, the result would be non eternal” (as cited by Helfrich, 2007).

Wilber inspired the work of Carol Gilligan (b. 1936), Don Beck (b. 1937), and James Fowler (1914-2015). Gilligan in her article, “In a Different Voice, Women’s Conceptions of Self and Morality,” (1977) argued that Kohlberg based his early studies solely on male participants, and failed to consider that “the moral judgments of women differ from those of men”(p. 490).

Beck, author of Spiral Dynamics (1996) designed an eight-step color-coded spiral chart depicting the stages of consciousness. Managers urge people to use Beck’s model “to help us recognize whether we are reacting or responding” (Janke, 2016). Novelist M. Scott Peck uses Fowler’s six-stage model of spiritual development in his portrayal of characters exhibiting characteristics of love and justice (See Appendix C).

The Conflicted Twenties

Building Blocks - Levinson described the twenties in his article, “A Conception of Adult Development” (1986), as a time of “the greatest contradiction and stress” (p. 5). Sheehy in her work Passages (1974) described two impulses at work during these years (p. 119). One is to find a partner and develop a career; the other to explore and experiment. She argued the balance between these two urges determined how people emerge into adulthood. Erikson looked at this period as a time of conflict between intimacy and isolation, a time when people explore long-term relationships with someone outside the family. He believed avoiding relationships led to loneliness, and depression, while successful completion of this stage led to a sense of commitment and love (McLeod, 2013).

Today’s twenty-year-olds wait longer before marrying. The average age for marriage for men from 1970 to 2011 increased from 23 to 28.3 years. The average age of marriage for women increased from 20 to 25.8 years (Why Marriage Matters, 2016). Although one in four in this age group never marry, the institution itself is still popular. A June 20-23, 2013 Gallup poll revealed 54% of Americans are married and another 24% would like to marry (Newport and Wilke, 2013).

A Pew Research Report also indicated people between 18 and 34 are more likely to live with a parent than to get married or move in with a romantic partner. In 2014,
32.1 percent of young adults lived with a parent. The percentage of men (35%) especially African-Americans and Hispanics living with parents is higher than women (29%). This tendency started during the 2008 recession when 20-year-olds experienced weak pay and diminished job opportunities (Markjarvis, 2016).

**Health** – Several factors influence one’s health. The first is behavior (40%). Establish good health habits and avoid risky ones at twenty and one may reach 100 years of age. People can’t do anything about the second factor, heredity (30%), but they can make sure they maintain an active social life (15%), have good health care (10%), and live in a safe environment (5%) (Hughes, 2010).

Risky behaviors include smoking and riding motorcycles. Use protection and test for sexually transmitted diseases. Those who become habituated to drugs need to seek help. Plan preventative, dental, hearing, and eye exams. Maintain vaccinations and blood pressure screenings. Family health history is important. Eat a healthy diet, reduce time in the sun, and use sunblock. Find a good dentist, health care provider and establish a relationship with them. Exercise daily. Take a first aid course and perhaps save a life. Obtain personal records from parents and keep them up to date in a safe place.

**Spiritual** – Everyone has a spiritual side, even if the only manifestation is total denial. This is not necessarily being “churched” but is a possible element. Simply acknowledging an elemental psyche or soul and the value of the power of love, joy, freedom, and beauty in people, places, and things is immeasurably fulfilling. Everyone needs to honor their thoughts and decisions in the light of reflection. Not easy to do? Absolutely! But it can and should become a habit. Combine it with another activity. Take a cup of coffee and find a quiet place to think through the day. Go for a walk outside and let thoughts soak in like the weather. Give up negative energy and find a way to replace it. Focus on what you want and need. Be honest. Determine how to achieve even a tiny bit of an elemental building block. These building blocks accumulate and one’s hopes may become reality. One can achieve a different goal or find his or her ambitions diverted due to unforeseen circumstances like the loss of a loved one or death of a spouse. Daily reflections help people adapt.

**Economics** – Carefully assess one’s financial situation. Minimize the cost of college by attending community college. Gail Marksjaris, a personal finance advisor, counseled keeping college loans below one year’s salary. She urges students not to forget those loans and to pay them off within ten years to avoid paying excessive interest. She noted about 28 percent of new college graduates end up selling possessions or taking emergency payday loans because they have not budgeted well. In an article in the *Oregonian*, Marksjaris (2016) recommended a 50-30-20 budget; fifty percent for essentials like rent and food, thirty percent for entertainment and indulgences like eating out, twenty percent for savings and retirement (p. C3).

Upon accepting a job, check to see if the company offers a 401(k) or investigate a Roth IRA. Get the full match from the employer or risk leaving money on the table. Remember these investments earn compound interest over a lifetime. Save $377 a month at age 25 and it will reach $1 million dollars by age 65. Arielle O’Shea of *NerdWallet* urged young people to reconsider the amount they invest each time they earn a raise (C-6). The tax advantage often means one’s take-home pay remains the same. One financial expert advised 20-year-olds to max out tax-deferred retirement
contributions from the first paycheck they receive, stating “You can learn about asset allocation and investing later, but you can never recover lost time” (Wohlner, 2016).

The authors - The authors eagerly embraced the adult world. They both graduated from college. Bill enlisted in the US Army Reserve and after basic training found a job teaching social studies at the high school level. Pat earned a Bachelor of Science, completed a year of internship, and passed national exams to become a Medical Technologist at a local medical center. The authors married with no debts and $16 in the bank, which meant lots of homemade soup and bread. Eventually, Pat gave birth to two beautiful daughters, Kathy, and later, Susan. Health concerns meant half-time work and full time motherhood for Pat. Bill soon earned a Masters Degree in Education. They invested in the stock market since Pat’s retirement plan was inadequate. Bill enjoyed state and federal retirement plans. Both authors exercised and, as a result of Army Reserve, Bill enjoyed an annual physical, weigh-in, and physical fitness test.

Transitional Thirties

Building Blocks – Confucius noted a man has his feet firmly planted on the ground by thirty. Levinson in The Seasons of a Man’s Life found not all of the men he surveyed had a firm foundation. They all experienced a mid-life crisis between the ages of thirty or forty. Levinson divided the lives of his subjects into five categories (1978, p. 150). Despite the differences between each type, the similarities grew more apparent as the subjects advanced through the stages of life.

1. Type A was advancement within a stable life structure. Fifty-five percent of the interviewees fell into this category. Life was good for them and they advanced toward major goals.

2. Type B, twenty percent of the men, showed decline within a stable life structure. These men suffered problems related to health, career, or loss of a loved one. In the case of two academics, universities denied them tenure.

3. Type C involved an individual searching for a new life structure. These, thirteen percent of those Levinson surveyed, reached a point where they believed the only way out of their flawed lives was a new occupation or spouse.

4. Type D featured a change in life structure as a result of job advancement. This type comprised only seven percent of the men surveyed. An apparent blessing often turned into a curse.

5. Type E, the last seven percent of the interviewees, fell into an unstable life structure. A volatile family life coupled with the lack of education resulted in a lifetime of instability.

Health - Harried 30 year-olds often neglect their health. Screenings for cholesterol and diabetes become important. It is easy to drink to relieve stress. Set a limit of no more than two drinks per day for men and one per day for women. Maintain sexual and reproductive health. About 85 percent of people under the age of 50 report episodes of back pain. Good posture, proper lifting techniques, and strengthening exercises keep backs healthy. Metabolism slows down in the 30s. Bodies start to replace muscle with fat. Include regular weight bearing and strength-training workouts in any exercise program. Exercise 30–60 minutes on most days of the week.

**Spiritual** – Make time for relationships. Never underestimate the value of a relaxing bath, a short walk, or meditation. In Fowler's fourth stage model of spiritual development, individuals reflect upon and examine the basic tenets of their faith. Fowler believed this occurred ideally in the twenties, but acknowledged most people don’t reach it until their thirties. Have the courage to examine youthful spiritual beliefs in comparison to the needs of adult life (Johnston, 2009).

**Economic** – This is the time to formalize financial planning. Consider how to pay for children’s college education. Profit from the advice of a financial planner or stockbroker. Set up a bank account and check on state bond programs to pay for children’s education. Revisit insurance needs.

**The authors** - The authors and 55% of the people surveyed by Levinson fell into the category of advancement within a stable life structure. Bill accepted a direct commission as an Officer in the Army Reserve. He earned a MA in History at the University of Oregon at age 33. Pat worked nights at the hospital as a medical technologist passing off childcare responsibilities when she left for work in the evening. She served on the Parish Council, taught Sunday school, and volunteered at the children’s elementary school. They purchased a house. Bill moved to a new Army Reserve unit with the possibility of rapid promotion and the opportunity to teach for the Command and General Staff College.

**Mid-life Forties**

**Building blocks** – Erik Erikson, Joan Erikson, and Helen Kivnick (1986) point out the tremendous demands on forty-year-olds. These burdens exact a price. The “Forlorn 40s” according to Sheehy are the years “in which the dreams of youth demand reassessment, men and women fall out of sync, sexual panic may emerge, and yet the greatest opportunity for self-discovery awaits” (Passages, back cover). Sheehy believed everyone goes through a mid-life transition. Some pass through it smoothly, for others it is a time of crisis and despair. It is characterized by a crucial marker event or by a series of changes. The nature and quality of these changes have huge ramifications as people re-evaluate their life structure. Serious depression can accompany this transition. Men and women realize they are aging and their physical strength and appearance are declining.

People between the ages of 40 and 59 may find they have to care for elderly parents, in addition to personal problems, and the stress of adolescents in the family. This is the so called “sandwich generation.” The problem is time, resources, and the question among siblings of who and how to take care of declining parents (Sosar, 2016, March 21). Brothers and sisters must set aside childhood rivalries and plan what is best for their mothers and fathers or embark on a familial journey of bitterness and blame.

**Health** - Doctors advise people in the forties to have a physical exam every 2 or 3 years. Pay attention to age related problems like stress and depression. Continue to screen blood pressure, cholesterol, and maintain a healthy weight. Now is the time for a baseline EKG and colorectal cancer screening. Women should consider an annual clinical breast exam, pelvic exam, mammogram, Pap test, and bone density test.
Additional screening tests for men include a testicular exam. Men should talk to a health care professional about PSA screening and prostate cancer risk (Editorial Staff, 2012c).

**Economics** – Forty-year-olds face the financial stress of how to pay for a college education for their children. Talk to friends, seek professional help, and involve the entire family in the discussion. Consider a community college, scholarships, and work study, to save money. The FAFSA student aid form is daunting and confusing, but there is some flexibility in filling it out. College is expensive, but with careful planning one can minimize the amount of debt incurred.

**Spiritual** – Fowler described the rewards of this struggle. People in mid-life transition are more aware of the finiteness and limitations of life, but also, are more at ease with paradox and contradiction. Fowler argued people are willing to engage in dialog with those of other faiths and spiritual practices as a means of examining their own truths. If they successfully work through the problems of mid-life transition they can make real contributions to society. However, unresolved conflicts can lead to paralysis and passivity (Johnston, 2009).

**Authors** – The authors sought an escape from stress by drinking alcohol. When both experienced elevated blood pressure, they quit. Personal effectiveness seminars helped to reevaluate priorities and goals. The authors entered the fifties with renewed energy and commitment. They planned Bill’s retirement from Army Reserve and teaching high school. Bill visited a career counselor who used the results of his Myers-Briggs test to lead him to rekindle his dream of earning a doctorate. The changes made by both authors during these trying times enabled them to anticipate their fifties with a sense of vindication, excitement, and hope. Bill ran many road races and completed several triathlons. The entire family enjoyed national and international volksmarches. Thinking about the forties recalls a Hindu saying that describes people in middle age as maintaining and perpetuating the world “in terms of the interrelated realms of people, products, and ideals” (p. 73). I read this quote to my daughter who is in her 40s. She replied, “I got it Dad, I’ll add it to my to do list.”

**Triumphs and Trials, The Fifties**

**Building Blocks** - Sheehy characterizes this age as the fabulous fifties, a movement from success to significance, a time of mellowing. She argued those who learned the lessons of the forties can come to terms with themselves in their fifties. She believed individual self-esteem determined the poorness or richness of this period (*Passages*, p. 487). She claimed educated persons show increased performance at this age. Subsequently, quickness in thinking declines, but not accuracy.

Levinson notes in *A Man’s Life* (1978), “it is impossible to get through middle adulthood without having at least a moderate crisis in either mid-life transition or the age fifty transition” (p. 62). Forty-year-olds who fail to transition often develop a crisis in their fifties. It is characterized by a pressing fear of becoming irrelevant in work, marriage, or other relationships. Levinson believed it is not too late to build a stable life structure, but those who find themselves in this situation have much work to do.

**Health** -The stress of working, as well as, caring for teenagers and adult parents can affect one’s health. In addition, there are physical signs one is aging at fifty. To understand the fragility of life read the names of people in the obituaries who were younger than you when they died. To improve longevity: eat healthy, stay active,
maintain a healthy weight, don’t smoke, get enough sleep, and, reduce stress, Continue the medical tests applicable to men or women at previous ages (Editorial Staff, 2012d).

**Economics** - The costs of putting children through college, health insurance, and retirement may seem insurmountable, but if one plans properly he or she can retire in their fifties. There are several reasons why one should consider early retirement. The ravages of stress may diminish a person’s ability to enjoy retirement. People who die never enjoy the benefits of their hard work (Motley Fool, 2016). Follow a dream and do something fulfilling. Attend workshops on retirement given by unions, associations, employers, and financial advisers.

**The Authors** – The authors went through a period of rapid transition in their fifties. They faced the challenges of an empty nest and Bill’s retirement from both Army Reserve and teaching high school. Bill’s return to graduate school required planning, budgeting, and living apart. Bill earned his doctorate at 57 and found work teaching college classes for Central Texas College on deployed U.S. Navy ships. He discovered a new physical activity, Tai Chi. Pat continued her work as a Medical Technologist with increasing responsibilities. When Pat’s mother died in 2000, she and her sister worked and grieved together. The fifties brought sorrow, but also a new career, travel, and satisfaction with life.

**Adjustments in the Sixties**

**Building Blocks** – According to Levinson, there are two stages to the sixties. The period from 60-65 is fraught with challenges, especially for those who have not provided a necessary foundation in the forties and fifties. Some people equate retirement from work with death. Others believe a flashy black Mustang convertible will help them hold onto their youth and prove they have “made it.” Levinson lamented, “A man fears the youth within him is dying and only the old man – an empty dry structure devoid of energy, interests or inner resources – will survive for a brief and foolish old age” (1978, p. 35).

Many cultures celebrate the 60th birthday with extravagant ceremonies. They believe a person has completed a full life cycle. Following this year, a person begins a new life cycle. Most people enter a more stable period by the second stage (65-70) of the sixties. Freed from the responsibilities of mid-life, they learn to live out of center stage. They take pride in the accomplishments of their children. Hopefully, they have grandchildren to nurture, spoil, and love. Tell them stories of beloved parents. “Relive magical moments of life even while you look forward to new experiences” (Khurana, 2016).

**Health** – Pablo Picasso said, “One starts to get young at age sixty and then it is too late” (cited in Khurana, 2016). But it isn’t too late, even for those who haven’t made the best choices at earlier stages. Contact a health care provider if you notice changes in cognitive function or mental health. Watch for gait imbalance. Learn the warning signs of heart attack and stroke. Those who have not already quit smoking should enroll in a smoking cessation program. Drink moderately or not all. Maintain a healthy weight and exercise. Keep inoculations including pneumonia and shingles up to date. Whooping cough or pertussis is making a comeback among seniors whose immune systems grow weaker as they grow older (Meyer, p. A19).
Make sure the smoke detector in the house works. (Editorial Staff, 2012e). Sixty percent of falls take place in the home. Take steps to reduce the risk of falls in the home. Sharon Johnson (2016), professor emeritus from Oregon State University noted eighty percent of homes have one hazard, and forty percent have five or more (p. C2). She provides a safety checklist at www.agefriendlyinnovators.org.

**Economics** - Make an appointment with Social Security upon turning 60. The first meeting with a Social Security counselor is enlightening. Some may choose early retirement when they realize that deferring retirement will pay off only after eighty years of age. Many decided they would rather collect social security benefits when they can enjoy it. Consider advance directives, long-term health care, and funeral plans.

**The Authors** – Prior planning eased the authors’ transition to the 60s. Bill traveled the globe teaching on Navy ships. He earned an instructors certificate in Tai Chi. Pat’s graduate course in children’s literature in the United Kingdom led her to enroll in Vermont College of the Fine Arts and earn a Master of Fine Arts. She retired after forty years at the same hospital. The authors found opportunities to write, publish, and travel with the National Social Science Association. They experienced the joy and the challenge of becoming grandparents.

**The Serene Seventies**

**Building Blocks** – Septuagenarians can follow the dictates of their hearts. However, there are still difficult transitions for those who have unfinished work from previous stages and increased risk of a chronic or life-threatening disease. This is the time when people start to think of themselves as old, but remember 70 is just a number.

**Health** - There’s a lot to do to maintain mental and physical health, increase longevity, and reduce the risk for physical and mental disability. Have a positive outlook. Stay as active as possible. Watch for depression, adapt, and learn (Roome, 2011). Make healthful lifestyle choices—don't smoke, eat right, practice good hygiene, and reduce stress. As people age, they are more likely to experience emotional trauma associated with grief for friends, loved ones, and spouses who have passed. Dealing with loneliness caused by multiple losses can lead to a diminished investment in life, especially when combined with other issues, like financial concerns (Healthy Living in 70s and older, 2012).

Secure the best medical help available. Elders should watch posture, gait, and receive podiatry care. Feel free to nap, if it does not interfere with a good night’s rest. Watch weight and caloric intake. Be aware of, and take measures, to counter frailty or diminishment of the tasks of every day living. Take safety precautions. See a health care provider regularly and follow his or her recommendations. Move away from aggressive screenings. Hooray! No more colonoscopies (Cohen, 2016, April 8).

**Economic** – Those who are retired need a budget more than ever. Diminished mental and physical capacities sometimes come with elderhood. One should consider care options with family members while sound of mind. This is a difficult decision. Many elderly equate confinement in a facility with abandonment. They remember the stigma of the poorhouse. They value independence and prefer to age in place in their own homes, even if they are lonely (Sarammpour, 2016).

Friends, neighbors, and relatives often pitch in to help seniors maintain their independence. There are professionals who provide home care for bill paying,
medication reminders, shopping, and home modification. Investigate retirement homes, assisted living, nursing homes, and hospice care. As the amount of care increases so does the cost.

**Spiritual** – Septuagenarians reevaluate experience from the perspective of time (Erikson, Erikson, Kivnick, 1986, p. 129). They tend to be more religious than younger people. Many seniors no longer view conflictual events as paradoxes and achieve a sense of oneness with all things. They help those in need. They communicate their experience and wisdom to the next generation. Fowler uses the word “subversive” to describe these people because the views of elders are often very different from earlier age groups (Johnston, 2009).

**Authors** - A parent’s dream is to see their children grow up healthy and successful. Both daughters earned advanced degrees, found good jobs, and married wonderful men. Susan and her husband had two children, Leone and Evelyn. Two years ago they moved back to Oregon from Massachusetts so the authors could enjoy their grandchildren. Pat earned an instructors certificate in Tai Chi. The authors published three books. *Politics of Death* (2012), *Healthy Grieving* (2015), *America Cries* (2016). In 2015, the NSSA selected one of the authors' publications as paper of the year. NSSA members elected Bill president of the association and Pat to the Board of Directors. Serious health issues occurred. Yet, after two surgeries and five weeks of radiation, Bill recovered from a tumor on his leg. Pat, along with his oncology social worker, and spiritual advisor helped him defeat cancer during this challenging period.

**Awesome Eighties**

**Building Blocks** – Levinson describes the 80s as late late adulthood, a time when one comes to terms with ones own mortality. The Torah calls it a time of special strength of age (Levinson, 1978, p. 325). Sheehy describes this stage as a period of diminished capacities, but with the potential to enjoy longevity.

**Health** – There is less need for preventive screenings for octogenarians. However, caregivers must take care to prevent falls, watch for the early signs of dementia, and the diminishing of daily life skills. Eighty-year-olds need a flu shot every year. They need physical exercise, walking, tai chi, dance, or swimming. Movement helps them maintain mobility and independence. Seniors must keep on learning, read a book, keep a journal, do a crossword puzzle, or figure out how to send pictures of loved ones on an ipad (Hoefler, 2013). One eighty-year-old expressed it this way, “There is an inclination just to let go . . . to set there in the evening and watch TV because that is the easiest thing to do” (Erikson, Erikson, & Kivnick, 1986, p. 309).

The number of elderly people living alone increased by 30% during the last decade. Seniors should avoid isolation and depression by embracing the world they have, attending social events, and keeping in contact with family. The death of a spouse, friends, or children can devastate elders. Johnson reminds us phone calls are welcome, especially for seniors with limited mobility. She notes Friendship Line for the Elderly has a national 800 number (2016, April 10, p. C2).

**Fitness reporter Kerry Justich** (2016) in her article, “80-Year-old Body Builder: Age is Nothing but a Number,” reported on one woman’s healthy life. Ernestine Shepherd limits her daily diet to 1,700 calories including egg whites, chicken, and
vegetables. She runs ten miles a day and advises people to find something they like to do that motivates them.

**Spiritual** – Artist Joan Erikson (1995a) believed many elderly faced despair with increased loss of physical abilities. She argued some feel incompetent and might act out just to assert their autonomy. They may lose a sense of identity when they no longer feel they have a role to play in work, family, or retirement living. Joan Erikson encouraged the elderly to try things and not fear failure or options. She stated people could meet these crises, just as they overcame challenges in previous stages of life (Friede, 2014).

Some meet the challenges of aging in spectacular ways. Doug Zanger in his article in Medium (2016). “Holy Triathlon! Sister Madonna Buder featured in new Nike work from W + K Portland,” tells of eighty-six-year old Sister Madonna Buder, a nun from Spokane, Washington who started exercising when she was 45. Nike featured “the Iron Nun” in their newest “Unlimited Youth” campaign. The ad features shots of her running, swimming, and biking, along with a tongue-in-cheek narration. When the young male narrator tries to discourage her stating that this is an Ironman Event, she glibly replies, “My first 45 didn’t kill me!” She is indeed the oldest person to complete an Ironman triathlon (see ad at ispotv, 2016). She told reporters that she often looks back at her twenty-something self and tells her, “it’s not what you say, it’s what you do” (Zanger, 2016).

**Authors** – Several family members reached their eighties. Pat’s very active mother often drove much younger friends completely across Portland OR to the airport for early morning flights. She, her older sister, and much of our family traveled to Las Vegas for an NSSA meeting. The oldsters attended shows, gambled, and stayed up late. One morning when we all met for breakfast we noticed our 30-year-old daughter and her husband could hardly stay awake. They finally confessed they decided to chaperone Pat’s mother and aunt. Apparently the elders were still playing Black Jack at 3:00 am with Aunt Elsie enjoying multiple long-necked beers.

At 80 Bill’s grandfather, and namesake, sailed alone to Hawaii on a cruise ship. Family lore indicates that, though he was a janitor, he was not intimidated by any rich or influential shipmates and thoroughly enjoyed his solo adventure. Bill’s aunt, Sister Imelda Joseph, remained active in affairs of her religious order well into her 80s. She was well known as an excellent educator, an outstanding administrator, and an absolutely ruthless poker player.

**Noble Nineties**

**Building Blocks** - The 90s are a time for reflection on a life well lived. Stephanie Wong (2016) in a PopSugar interview, “45 Life Lessons Written by a 90-year-old Woman,” asked Regina Brett about the social and spiritual aspects of aging. Brett gave the following responses:

- Life is too short to waste time hating anyone.
- Forgive everyone everything.
- Make peace with the past so it won’t screw up the present.
- When it comes to chocolate, resistance is futile.
- Burn the candles; use the nice sheets.
- Wear fancy lingerie.
Health – Ninety-year-old elders report a generally healthy life. If they incurred serious illnesses they recovered quickly. They are conscious of the food they eat, maintain a moderate well-balanced diet, and avoided obesity. They are physically active and never smoked or quit early on in life. They drank alcohol moderately or not at all (Weis-Numeroff, p. 223).

Spiritual – Regina Brett is an excellent example of Ken Wilber's explanation of where meaning is found “not in outward actions or possessions, but in the inner radiant current of your own being, and in the release and relationship of these current to the world, to friends, to humanity at large, and to infinity itself generate” (as cited by Helfrich, 2007, p. 11). She is a complete person according to any model of human development.

Authors – Soon after we bought our house forty years ago, a single retired telephone operator, June, moved into our neighborhood. She loved children and knew everything that happened on our block. She led a busy social life well into her eighties and nineties until several falls limited her mobility and prevented her from driving. She organized our whole neighborhood to help her. Each neighbor had specific tasks, either grocery shopping, buying pet food, taking her to various medical appointments, or providing transportation to and from her hairdresser every Thursday. She kept in contact with her friends by phone, watched Fox News, and never missed a televised NASCAR race or major league baseball game. Pat provided a detailed phone list of local transportation choices to help her when we traveled. Each community has options including free transportation to medical appointments, local bus service vans for handicapped, taxi service, etc. She died at age 93, much loved by our entire neighborhood and independent to the end. She allowed each one of us to be a Good Samaritan.

Celebratory One Hundreds

Building Blocks – In the past reaching the age of one hundred was an amazing achievement. The Torah describes it as being already dead and passed away from the world (cited by Levinson, 1978, p. 325). The average life expectancy for Americans today is twice what it was for their grandparents. Centenarians are the fastest growing segment among the elderly. In total numbers, the United States has the most centenarians with current estimates as high as 72,000 (Goodman, 2016). The number of long-lived people is increasing so rapidly, experts on aging created a new stage of life, the super-centenarian, for people over 110.

Health – Ellen Hughes MD, PhD, a professor at the University of California San Francisco medical school, in her video, “The science of healthy aging: living better not just longer” (2010) argued the things that keep 20-year-olds healthy, preserve the lives of centenarians. Living a healthy life-style accounts for forty percent of centenarians’ longevity. Interviews of those over 100 years old indicate most advised eating moderate portions of nutritious foods. Some were vegetarians (Adler 2013). They watched their weight. They generally had their own teeth, but some had problems brushing and maintaining oral health.

The stereotype of ill-tempered, sedentary, old people is a myth. Numerous interviews on YouTube, like Interview Girl’s “Conversation with a Centenarian” (2013)
demonstrate one does not reach the age of 100 without a positive outlook, exercise, and mental acuity. Almost all centenarians reported being active throughout life. Exercise decreased stress and anxiety. Yoga, tai chi, dance, or even taking a walk with a friend maintained social connections and promoted mental and physical health. Centenarians spoke of how they learned to shake off the negative things of life, adapt, and move on (Goodman, 2016, Affect).

Social relationships constitute fifteen percent of wellness for people of all ages. Interviews of centenarians consistently reported they maintained a happy and active social life. Loneliness and depression constituted a real problem for those who outlived contemporaries, children, and spouses. Most centenarians received support from children and unpaid caregivers. A loving family was universally important to them. They enjoyed roles as matriarchs or patriarchs and many spoke of the pleasure of watching younger generations grow and flourish.

Heredity plays the largest part, about 30 percent, in longevity (Hughes, 2010). This explains how some centenarians made unhealthy choices, but continued to thrive. The YouTube video, “Five people over 100 years old – Crazy secrets. (2015)” is well worth watching. One Interviewee drank three cans of Doctor Pepper a day, another drank three Miller Hi Life beers, and a shot of scotch a day. A 120 year-old woman smoked, drank port wine, and ate 1 kilogram of chocolate a week. Another centenarian attributed her longevity to lifelong celibacy. These 100-year-olds prove the value of longevity genes. Their stories say much about their will to live and joy de vive.

Economic – Many centenarians worry about finances. Having lived through the Great Depression of the 1930s, they expressed some remarkable insights on finances. They paid cash for their first car and remember with pride owning a home free and clear of a bank loan. They view debt as a four-letter word and think young people buy too much on credit thus confusing needs and wants. They admit they might have done better financially, but point to a lifetime of saving, and investment in stocks, real estate, or mutual funds. Centenarian Carlos Mussenden summed up the feelings of his age group on wealth, "Rich in love, rich in friends, rich in your work, rich with family — — that is what I call rich" (Franklin and Adler, p. 97).

Spiritual - Centenarians experienced a lifetime of disappointment, loss, and sorrow, as well as, success, fulfillment, and joy. They learned to let negative things go and forgive others. Humor is the best and cheapest medicine. Laughter dispels depression and brings back positive memories. Nothing can withstand the assault of laughter. Centenarians demonstrate Maslow's stage of self-actualization. They have truly found meaning in life as it relates to them.

Conclusion

The evidence presented by the authors of this paper indicates two things. First, the life cycle of stages and transitions developed by Levinson has validity for most people. Everyone is affected by choices as well as chance; but, encounter similar challenges at approximately the same age. Everyone experiences a mid-life transition; for many it is a time of crisis. Seventy-year-olds have much the same concerns whether they were pot-smoking flower children or intent on building a stable lifestyle. Second, theorists like Joan and Eric Erikson, Maslow, Wilber, and Fowler, using the concept of stages of development, offer much in explaining spiritual, ethical, and moral development, especially for those seventy years and older.
Those who seek success in the completion of a Lego kit quickly learn following the directions is the most valuable tool. Helping hands from experts is welcome, but often ignored until it is almost too late. Occasionally key pieces may disappear or break. However, there is usually a small bag of these essential parts included in each kit.

Life is a lot like building with Legos. Certain activities in each decade make the next stage, not necessarily easier, but a little better. Careful personal reflection is essential. Some mistakes are inevitable. Recognition of those errors is the first step in correction. Unpredictable forces may cause damage. A determined builder may need expert advice to remedy the situation. This is a time for careful planning and creativity.

A picture of the completed project appears on the outside of each Lego kit. Life obviously doesn’t have a blueprint. But each individual can imagine what the future holds and strive toward that end. Everyone ought to have a realistic and strong image. Aging will occur and, with careful attention and planning, is rewarding and fulfilling at each step, day by day and block-by-block.

**Resources**


Wilber, K. (2014). On levels of development. YouTube retrieved at <www.youtube.com/watch?v=zKKhP5bw8k8>www.youtube.com/watch?v=zKK>


Appendix A - Maslow's hierarchy of needs

Appendix B – Wilber's Spiral Dynamics

Spiral Dynamics integral model of value systems. A map of the evolution of human consciousness.
### TABLE 17-9
Fowler's Stages of Faith

<table>
<thead>
<tr>
<th>Stage</th>
<th>Age</th>
<th>Characteristics</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-Stage: Undifferentiated faith</td>
<td>Infant</td>
<td>Trust, hope, and love compete with environmental inconsistencies or threats of abandonment</td>
</tr>
<tr>
<td>Stage 1: Intuitive-projective faith</td>
<td>Toddler-preschooler</td>
<td>Imitates parental behaviors and attitudes about religion and spirituality; Has no real understanding of spiritual concepts</td>
</tr>
<tr>
<td>Stage 2: Mythical-literal faith</td>
<td>School-aged child</td>
<td>Accepts existence of a deity; Religious and moral beliefs are symbolized by stories; Appreciates others' viewpoints; Accepts concept of reciprocal fairness</td>
</tr>
<tr>
<td>Stage 3: Synthetic-conventional faith</td>
<td>Adolescent</td>
<td>Questions values and religious beliefs in an attempt to form own identity</td>
</tr>
<tr>
<td>Stage 4: Individuative-reflective faith</td>
<td>Late adolescent and young adult</td>
<td>Assumes responsibility for own attitudes and beliefs</td>
</tr>
<tr>
<td>Stage 5: Conjunctive faith</td>
<td>Adult</td>
<td>Integrates other perspectives about faith into own definition of truth</td>
</tr>
<tr>
<td>Stage 6: Universalizing faith</td>
<td>Adult</td>
<td>Makes concepts of love and justice tangible</td>
</tr>
</tbody>
</table>

China in Africa: A Global Economic Shift

Xiaofei Li
York College of Pennsylvania
Warfare has been the historic method of dramatically reshaping world order, but in the age of globalization economic power will likely be the mechanism for international change and restructuring. China’s successful entry into the global market has caused international trepidation by its regional neighbors which fear domination, and established global powers which sense a source of unwanted competition. China’s foreign engagement policies over the last 20 years represent a shift in the global economic model, forcing other nations to reevaluate their own efforts in the process. This especially evident in the developing world. Africa is a rich continent with substantial problems, which the West has unsuccessfully attempted to fix for many years. The Chinese model of engagement in the developing world contains many valuable lessons which may address many of these problems, but also contains dubious policies and practices which may constitute a dangerous new norm. China’s challenge to the current engagement model is a catalyst for new ideas, and represents a great opportunity, but it radically departs from what came before and likely needs adjustment to provide lasting growth, prosperity, and peace in Africa and the rest of the developing world.

China’s current engagement with Africa is not unprecedented. Zheng He’s treasure fleet arrived in East Africa in the early 15th Century, well before the European powers, but the main objective was establishing prestige and notoriety rather than establishing trade routes. Zheng declared Chinese greatness, proven through the might of his fleet, and he encouraged others to pay tribute to the Emperor. Individual Chinese merchants did use some of the same routes travelled by Zheng for trade on a small scale, but Confucian thought generally denigrated the merchant class. These voyages were relatively short lived, and the great fleet was quickly dismantled.  

The next major attempt at engagement with developing countries, which laid the foundation for current interaction, started under Mao Zedong in the 1950s. The creation of newly independent, unaligned former colonies presented a unique opportunity for China to develop relationships which could help balance against the Communist bloc, during a time of weakening Sino-Soviet relations. The most important meeting of this era was between Zhou Enlai and Indian Prime Minister Nehru in 1954. While attempting to establish a basis for continued interaction, Chinese leaders embraced the Five Principles, which became the cornerstone of Chinese foreign policy. They held: respect for territorial integrity, non-aggression, non-interference in each other’s internal affairs, equality and mutual benefit, and peaceful coexistence. These unique policies are not rooted in Westphalian principles, though they do share some underlying values. Rather, they must be understood in the context of former colonial possessions rejecting a model that did so much harm, both physical and psychological. In spite of their historical differences, both India and China were deeply scarred by their recent colonial subjugation, and it was this characteristic that allowed for a certain level of interaction with the rest of the developing world that Western nations have not enjoyed. Even their disputed border, which eventually resulted in a short but intense war in 1962 was a remnant of a colonial quarrel between Britain and China. The result of this interaction was an increased level of interaction among not just neighbors, but a whole host of former colonial subjects.

In 1955 Chinese leaders met with those of other Southeast Asian and African leaders at the Bandung resort in Indonesia. This new model of Chinese foreign policy, rooted in the Five Principles and in keeping with Communist anti-imperialist dogma,
aimed to create another axis of influence to check the Soviet bloc’s influence. This model quickly spread to China’s dealings in Latin America and the Middle East. However, the Great Leap Forward and Cultural Revolution wreaked havoc on China’s foreign and domestic affairs, and led to a long isolationist period of internal improvement focused on self-sustainment. Foreign dependence and ideals were specifically targeted, as were historic Chinese principles, and the devastation and anarchy that resulted scarred the entire next generation of leaders. The Cultural Revolution was an unprecedented domestic and foreign policy disaster, which China could not recover from until the ascendance of Deng Xiaoping, who introduced a dramatic modernization program.

Many of Deng’s reforms in the 1980s were focused on the economy, but were initially directed toward the developed West. Only matured Western economies could provide the capital investment and free market experience China required to integrate into the world economy, and throw off the remaining shackles imposed by the Cultural Revolution. Deng regarded economic subsistence as the lynchpin to raise the quality of life of the Chinese people, which in turn was necessary for continued Chinese Communist Party (CCP) reign. However, reforms did not come without a price. Private ownership and a push toward free market principles exacerbated existing sources of unrest including wealth disparity between urban and rural areas, rampant inflation, and corruption. This was compounded by internal party arguments which resulted in the occasional effort by the CCP to retake some of the freedoms which had been bestowed on the people. This eventually culminated in the 1989 Tiananmen Square protests, which was the closest the CCP came to falling since its rise to preeminence 40 years earlier.

Tiananmen marked a major inflection point for China. The CCP leaders were rocked not only by their narrow escape, but the rapid downfall of other communist nations. This highlighted a number of important points, some irrelevant to the topic at hand, but all revolving around domestic stability. The most important lesson was that economic growth is necessary to prevent widespread unrest over unemployment and poverty. This fixation on growth is one of the major driving factors to obtain a steady flow of natural resources, which dominate the exports of developing markets such as Africa and Latin America, and to a large extent are not already claimed by developed nations for a number of reasons. These same trade partners also provide an excellent market for cheaply produced Chinese goods, such as textiles, electronics, automobiles, and heavy machinery, and lends credence to the argument that Chinese interests in newly expanding markets are complementary, not competitive. This accounts for the exponential growth of trade between China and Africa. From 1989 to 1997 bilateral trade more than quadrupled, and from 2000 to 2011 it has jumped by more than 16 times.

A second important lesson was rooted in Western condemnation of how the CCP dealt with the Tiananmen protests. This necessitated a mechanism by which China could shore up its international standing. Creating partnerships within Africa in particular established a base of influence within multilateral institutions due to the sheer weight of numbers in an attempt to offset Western hegemony. This is nearly identical to Mao’s rationale in the 1950s to combat Soviet dominance.
There were also two major factors driving increased developing world engagement in the 1990s that were not related to Tiananmen. The 1997 Asian financial crisis showed China’s leaders that increased interconnectedness due to globalization means one nation’s economic problems can have an impact on the entire region. This indicated the prudence in diversifying investments beyond traditional regional boundaries not only to increase the size of the economy, but also as a hedge against economic (and therefore domestic) instability. Another aim of Chinese engagement in emergent markets was the Chinese desire to draw international support away from Taiwan. Similar engagement efforts had been enacted for decades, but in a time of unparalleled investment, it is significant that the only nations to not receive Chinese aid are those which recognize Taiwan. While seemingly a trivial political point given Beijing’s overwhelming focus on the economy, insistence on respecting the “One China” principle is the only non-economic consideration that enters into the equation when engaging emerging markets.¹⁰

Given China’s circumstances, it is easy to understand why they would court developing markets with such vigor, but the way in which they have gone about it is what explains their success. Chinese engagement is better targeted, more appealing, and more competitive largely due to political connections, coordination between state and business interests, and tangible benefits. The Western model of engagement for the last few decades largely revolved around aid, much of it coercive, rather than trade. The form has varied over the decades, but recently Western nations focused monetary aid dollars toward achieving lofty goals like reducing abject poverty and preventable disease transmission, and in return African nations were required to institute democratic reforms, increase economic and political transparency, and improve human rights conditions. Many international institutions, like the International Monetary Fund and World Bank, have this mindset ensconced in their everyday lending and investment practices. This is likely a dated remnant of the Cold War era for two reasons. First, international institutions take on the value system of those powers which create them,¹¹ in this case the US and other Western nations in the aftermath of World War II. Second, aid dollars were used to help check growing Soviet ambitions, and promoting democratic values was a way of assuring that communism would not take root and spread. However, haphazardly imposed reforms which in some cases have created serious consequences, and their ineffectiveness in terms of achieving stated goals have left a political environment which China is using to its benefit.¹²

China’s current engagement model is still strongly rooted in the Five Principles, which implicitly rejects economic coercion as a mechanism for political change. This is exceptionally appealing to African nations who recognize the importance of entering the global marketplace, but in most cases have been rejected by Western powers for various reasons. This also points to the complexity of the economy as a tool for change. Joseph Nye was the first to define the notion of soft power, which in its essence is the ability for one state to influence another through attractive, non-coercive means. This is distinguished from hard power which is generally coercive force applied to achieve an objective.¹³ The economy and military are generally thought of in the context of hard power, and that is exactly how Western nations have used them with respect to the developing world. However, China has shifted to an entirely soft power economic
approach which, underpinned by a pluralistic ideology, has proved exceptionally successful.14

There are a number of characteristics that comprise Chinese economic soft power, which is almost entirely divergent from Western engagement norms. Chinese engagement is structured and coordinated from the highest levels of the Central Government, down through State Owned Enterprises (SOEs), all the way down to small and medium sized enterprises. The Central Government generally speaking establishes a relationship with a particular country based on expected returns. Aside from requiring adherence to the “One China” policy, there are no political strings attached to investment dollars.15 Specifically, heavy investments have been made in Zambia, Nigeria, Ghana, Chad, South Africa, and Tanzania, with lesser investments across the majority of the continent.16

Chinese economic diplomacy is not only carefully targeted based on expected return, but also coordinated and integrated across all tiers of engagement. Instead of giving outright aid to governments, as Western governments have in the past, the Chinese tend to tie funding into specific project contracts which are typically awarded to Chinese companies. Under this model the Chinese mix gifts and Foreign Direct Investment (FDI), long term low interest loans, quid pro quo arrangements, and cooperative ventures.

Gifts and FDI might be most closely associated with aid dollars, but the targets are different. Instead of providing food or mosquito nets, the Chinese build sports stadiums, palaces for high officials and legislatures, some infrastructure projects, and other status symbols. This includes the fully furnished African Union complex at a cost of over $200 million dollars, provided at no cost. These gifts not only signal Chinese ascendancy as a world power and long term support for African nations, but also helps build political good will which can be used to help secure rights to various mining or infrastructure contracts.17

China’s banking system is almost entirely run by the central government, and therefore it is very easy to coordinate gift giving, and long term financial investment to woo potential partners. In an effort to better streamline their approach, the CCP created the China Development Bank (CDB) to extend long term, low interest loans across the African continent. This not only builds a measure of political good will, but signals an intent for Chinese business interests to remain in Africa long term. Typically funds from the CDB are tied to specific projects, rather than being doled out directly to the government, which introduces some level of accountability while simultaneously increasing the likelihood of producing contracts which Chinese companies will win.18

Quid pro quo arrangements rely on using a states expected mineral export revenues to pay for ongoing building ventures, typically infrastructure and other construction projects. In a way this amounts to a long term loan, but it shows an interesting flexibility since it may involve trading contracts for resources, which involves multiple companies or interests. This is possible under the Chinese business model, but would be very difficult to orchestrate under typical Western arrangements. One example is the large ghost city that was constructed in Angola, which is paid for by expected Angolan resource revenues.19

Cooperative ventures can take a variety of forms, but as the name implies it is a venture between African and Chinese businesses. In the mining sector this involves the
Chinese buying an interest in speculated African resources, which secures them for export to China. Typically Chinese businesses are also tied to extraction, which may take the form of direct assistance and supervision, or providing Chinese made heavy machinery to increase production. Textiles were another key cooperative venture until recently. Under the American Growth and Opportunity Act (AGOA), some 4,000 African made finished products including textiles were allowed into US markets duty free. A number of Chinese companies joined with African partners to manufacture textiles for export to the US, to avoid high tariffs imposed on Chinese exports. However, AGOA is set to expire in 2015 and there is growing American political opposition to renewing it based on protectionist sentiments amongst both parties. As a result many of the Chinese partners have started to pull out of Africa, ironically leaving African textile producers to be run out of business by cheaper Chinese imports. There are many other examples of joint Chinese and African ventures, but this standard element of Chinese economic diplomacy is far from widespread in Western style engagement.

The CCP is better able to coordinate its activities with business interests than Western nations because all businesses of notable size are to some degree extensions of the party. SOEs and banks are the most obvious and recognized economic arms of the CCP, but its fingers quietly extend down into subsidiaries and private ventures. This is in part a result of Jiang Zemin’s Three Represents, allowing entrepreneurs to join the CCP. CEOs and other company heads are dual-hatted as high party officials and are therefore subject to many party controls and direction. One of these mechanisms is through the control of party personnel assignments via the Central Organization Department. This department has even moved party officials from the top of one business, to its competitor if it was the best interest of the party. There is another element of control rooted in the fact that banks are primarily controlled by the central government. Without a secured line of accounting it is essentially impossible for a business to thrive, so they cannot stray too far from the CCP’s wishes without potentially being made insolvent. Another control comes in the form of internal party organizations, which can sit on the board of directors, or be imposed on foreign companies as a type of union. One indication of how entrenched the CCP is in business is the impossibility of identifying which are wholly privately owned, and which are owned in collaboration with the government. Another is that when asked, officials and owners alike prefer to say they are “run by the people” instead of “privately run” companies. While these measures were designed to maintain CCP control across all domestic institutions, one added benefit is that massive but controlled collaborative efforts can be coordinated between the central government and various business enterprise. This has proven exceptionally successful in closed markets, which is a typical characteristic of developing countries.

Foreign engagement efforts within China’s borders are just as streamlined as its business practices in emerging states. Even relatively unimportant foreign dignitaries are met by their Chinese counterparts, and introductions are made throughout the staff levels to develop deeper communication networks. The ministries are organized to reduce bureaucratic friction by consolidating trade regulation into only a few departments. They become a virtual one stop shop for anything from electronics or heavy industry, to military and telecommunications exports with very little red tape. In the US, access to important persons can be very limited, and negotiations for exports
are typically run through multiple bureaucracies, which can tie up negotiations for years, and in some cases can be explicitly rejected by congress. Combined, these factors make it far easier for governments, especially those in countries deemed less important to Western vital interests, to do business with the Chinese by reducing incidental transaction costs.

In addition to being better politically and economically integrated in African markets, Chinese investment has brought tangible benefits to the people through its holistic approach, which decades of foreign aid have not produced on a large scale. In addition to making investments in resource extraction and agriculture, China has invested deeply in infrastructure projects of all types. China’s investment in roads is in part to increase the ability to export extracted minerals, and move their imports throughout the continent, but construction is vital to all forms of commerce and the people writ large. It is often easier to move goods to Europe or the US than to regional markets due to the lack of infrastructure, making it very difficult to expand a small business into a medium or large scale enterprise. The inability for Africans to move perishable goods to market is responsible for billions in lost revenue every year.

Another infrastructure concern is the accessibility and reliability of electrical power, which is required for businesses to thrive, and to prevent urban chaos. Less than 1% of the population of South Sudan, a petro-state, has access to electricity. Only 75% of South Africa’s population has access to power, and that is the highest in sub-Saharan Africa. In the Democratic Republic of Congo a Chinese company is competing for the Inga dam contract, the largest hydroelectric project in history. Notably, the Chinese are not just looking at the dam itself, but transmission lines and power stations which are needed to move the electricity from its generation source to customers. While an obviously critical step, it is one that is too frequently overlooked by companies only interested in power generation contracts.

Another example of vertically integrated Chinese infrastructure development is Huawei’s billions of dollars of investments throughout Africa. Huawei, China’s largest telecommunications company, is not only running thousands of miles of fiber optic cables to provide internet access, and building towers to provide wireless coverage, but is also selling the routers and phones to connect end users to the infrastructure. Some Western experts are concerned about security, but most Africans indicate that access to the cyber world is the most important factor.

China has largely succeeded in securing contract rights and building projects to an unprecedented extent due to its holistic, and potentially revolutionary method of economic engagement, but it also enjoys other benefits which increase its market share. Beijing likes to highlight that it is the largest developing country, and that Africa has the most developing countries, meaning they have shared interests which bring them closer together. This, along with a Five Principle assertion that all projects are meant to be win-win may be nothing more than propaganda, but shared values and levels of development have advantages. Chinese firms are more involved with massive domestic infrastructure projects than Western powers. Since they are actively developing, testing, and implementing new techniques for solving complex engineering problems, and are able to provide cheap skilled labor, Chinese companies are able to reduce overhead costs well below their Western competitors.
In spite of the numerous economic and political advantages that the Chinese model brings, it also introduces a series of social problems. There have been many accusations that China treats Africa as if it were a monolithic bloc, rather than 54 unique countries and thousands of cultures. In the economic respect this is unfounded, as investments are carefully targeted based on expected return, but politically this is true to some degree. Given historic Celestial Dynasty insistence that others come to China to pay tribute, and Mao’s focus on self-sufficient isolationism, China is still a relative newcomer to foreign engagement. Large scale engagement in Africa is unprecedented for China, and keeping track of all the moving pieces is a test of Beijing’s foreign policy acumen. It remains to be seen if China can create and enforce policies necessary to keep relatively unaffiliated businesses and Chinese immigrants from narrowly pursuing interests outside those of the CCP. It is also a test of the Chinese Ministry of Foreign Affairs ability to handle crises as they occur, balancing China’s interests against those of 45 unique, substantial trading partners.36

Some may see China’s investment without political strings attached being rooted in a monolithic view of the continent, but it is an underlying foreign policy precept rather than an Africa specific policy. It makes Chinese engagement much more attractive for African governments precisely because investment decisions are removed from politics, creating a method to circumvent Western cash with imposed norms and values attached. The fear is that funding governments with terrible human rights records removes any impetus for them to improve the lot of their people. While a valid concern, especially with regard to respecting human rights and economic transparency, it is overstated to some degree. First, the Chinese model of engagement ties funding to specific contracts, reducing direct payments to governments whether they are potential offenders or not. Second, under the same non-interference policy that removes political strings from investment money, there is no mechanism to reverse any democratic reforms African nations have made. Third, assuming that investments only support the government ignores the impact that infrastructure has on people across the nation. If all people are allowed free and fair access to improvements, they have opportunities that did not exist before.

Further, China has not entirely turned a blind eye to Africa’s internal problems. When newly formed South Sudan was on the brink of war with Sudan, China sent troops to the area through the UN to help stabilize relations. This not only allowed China to defend its investments, and prevent the outbreak of violence that Western leaders feared was a natural result of Chinese policies, but it also strikes a careful balance between the strict non-interference commitment and inaction.37 Working through international institutions like the UN adds a level of credibility to interventions, even if they are self-serving, and reduces resultant political fallout. In other attempts to respond directly to African criticism, the Chinese government forgave $1.27 billion worth of loans in 2003, and implemented self-imposed restrictions on textile exports to South Africa.38 While seemingly tawdry compared to the level of investment across Africa, it shows a level of image consciousness that is often absent in Western interaction on the continent.

Another series of criticism leveled at China’s African engagement revolves around labor disputes. Chinese businesses often import Chinese labor for construction projects instead of hiring local workers, and there are charges of mistreatment and poor
working conditions. However, many of these problems should be viewed through the prism of cultural interaction rather than intentional malfeasance. Chinese history is marked by notions of superiority, starting with the view that the Celestial Dynasty was the center of the universe and all non-Chinese barbarians were forced to kowtow to the Emperor. This Sino-centric social model was replaced to some degree by a social hierarchy in the 1800s as colonial powers took over and spread their views. During this period the Chinese accepted that Europeans and Chinese were at the top of the hierarchy, and black Africans were at the bottom, with gradated tiers for other ethnicities in between.\(^3\) While overt racism is probably no longer the norm, or at least as prevalent, as with prejudice anywhere it takes a certain amount of exchange and understanding to work through cultural problems in their entirety.

Cultural biases can also play a less insidious role. It is natural to apply the method one originally learned because it is known and it likely worked in the past. Labor practices within China are not in line with the Western model, which have been refined due to the influence of government protections, unions, and hundreds of years of practice. Chinese industry is relatively new and does not have some of the common labor practices, like a five day work week, and these established cultural norms are brought to Africa. It is difficult for mature businesses to navigate cultural nuances, let alone for those in their first international venture.\(^4\) The difference in cultural norms with respect to the workplace prompts some of the calls of laziness or ineptitude among African workers. These perceptions are the stated reason why Chinese companies bring in Chinese labor instead of hiring locals.\(^5\)

Language barriers create another equally important source of labor tension. Often English is used as an intermediary language in Africa and Latin America, but is often a second language to both Chinese managers and local laborers. Simple communication problems create an atmosphere where it can be exceptionally difficult to solve labor disputes quickly and efficiently.\(^6\) However, Chinese businesses in Africa do seem to be slowly changing the way they operate, and labor practices within China itself are also slowly changing, indicating that labor tensions may not be as prominent in the future. This is true both in terms of labor practices and the number of imported workers, because as Chinese labor costs rise, it will likely tip the economic balance in favor of African labor.

Another source of concern is corruption and illegal practices. Two recent cases that have drawn international attention are illegal gold mining in Ghana, and illegal timber extraction in Mozambique. Both cases involve corruption, in Africa and China, but it highlights the problem of enforcement. There are very loose controls and enforcement mechanisms to stop illegal trade within African countries and China, and both have a stake in solving the problem. African states are losing billions of dollars in tax revenue to illegally exported materials, and China needs to be viewed as a fair and reliable trading partner in order to keep market share. However, the lack of legal and investigative frameworks to combat corruption on both sides has undermined the ability to stop illegal practices. In many cases, corruption disproportionately benefits those with power and wealth, and these are the same people who draft and implement policies such as anti-corruption measures. Therefore it may be hard to institute solutions even though it ultimately is to the benefit of both parties on a macro level.\(^7\)
This problem also highlights a larger issue of transparency and market reforms, which Western nations have tried to impose along with other governance related norms. As previously mentioned, China does not appear to be trying to reverse any governance gains, but to some degree market transparency does not work to their advantage. Under their current model of wider, deeper investment across multiple tiers of engagement, it provides a distinct business advantage to keep your deals secret. Businesses routinely guard such transactions because information is power, but under the Western model this is not an accepted practice for governments. The Chinese model blurs the distinction between government and business to their advantage. Arguments that this is a new form of neo-imperialism are overstated because whatever terms are reached between the two governments were a product of fair negotiations, free from coercive forces of hard power engagement. If anything this is a more pure form of unfettered capitalism, where the state with the least to lose has leverage to set the terms of the negotiation. In any case guarding the terms of transactions reduces outside interference, and the lack of transparency is arguably what is likely to keep corrupt, violent officials in power. This may be an inherent and lasting problem of the Chinese engagement model if left unchecked.

The trade imbalance between African countries and China is another source of tension, though again largely overstated. Of 45 significant trading partners, 15 African countries have a trade surplus, and 30 have a trade deficit with China. There are some mature companies, primarily South African, which have established roots in China, and Beijing announced that nearly 4,000 African imports would be put on the duty free list, possibly in response to similar provisions in AGOA. However, on the macro level bilateral trade is much more balanced between the African continent and China, than it is with the African continent and the US.

Despite its inherent problems, the Chinese model of economic engagement in emerging markets presents a valid counterpoint to failed Western aid attempts, but does it require a response from the US and others? The two paradigms of engagement can be examined through three prisms: economic, geo-political, and national strategic interest. Economically if the US and other Western powers continue to cede market share to Chinese companies, it will become increasingly difficult to enter into these new, powerful engines for economic growth. Western powers still have an edge over Chinese companies in resource extraction, but Chinese exports to the continent are more diverse, tipping the trade balance in their favor. In terms of infrastructure development, China is currently well ahead of the curve.

Geo-politically, by ceding political influence to Chinese interests, there is a risk that social reforms on the continent will stagnate. While the Western model of aid has not solved these problems, it does not mean one needs to do away with morals and values in order to be politically competitive, it just requires more selective targeting. China’s insistence on respecting the “One China” policy is proof of that. Strategically speaking, many view the US and China as competitors. If this is true, in a realist zero-sum power-balance, allowing China’s influence to spread unchecked will pose a threat to US vital interests. This may be as simple as developing a more robust economy, which allows for the construction of a larger, more advanced military force. In this case, all models agree that the US and Western powers need to be more engaged in Africa, though the rationales are slightly different.
So how should the US and other Western powers realign their interests given Chinese competition? The first step is accepting at all levels of government that not all countries are equal. The Chinese are currently successful because the depth of their investments in each country. Shrinking Western aid budgets in an era of austerity indicate a need to better target a few countries rather than attempting to help them all. Governments will have to find the best method of selecting appropriate countries, and collaborate with businesses to be more competitive. This collaboration could take the form of public-private ventures, government subsidies to lower contract costs, or be as simple as just working on the same problems, like having the government offer to build roads that will decrease costs to businesses to move imports and exports around the target country. Governments will also need to find a way to coordinate with Non-Government Organizations (NGOs). NGOs can make a large impact, but usually on relatively narrow issues. Coordinating action amongst these groups will help reduce duplicated effort, wasteful practices, and help narrow the scope of engagement to be more competitive with the Chinese.

The best way to accomplish this effort is to create a US development bank under the treasury department and the USAID. Funding from the US would come from realigning existing aid dollars, and the focus of the joint effort would be to shift the balance of spending to investment rather than just aid. The development bank would be the government organization that would help set investment priorities with businesses and NGOs. It should follow the Chinese model of long term low interest loans, tying investment and aid to specific contracts (without dictating what the contract is for in all cases), increasing infrastructure of all types, and maximizing opportunities to increase bi-lateral trade.

To make this model more international, efforts could be made to remodel the IMF and World Bank along this line, but given the number of interests represented it may be very difficult to do. However, establishing an international development bank amongst a coalition of like-minded states, or opening a US development bank to international funding sources, might be a way to increase the amount of investment money without increasing the political costs. This would increase overall efficiency since countries would not be duplicating effort or competing with each other, and politically it is easier to negotiate with those with convergent interests.

Another focus should be on increasing bi-lateral trade. Letting AGOA expire in 2015 would be a large blow to US-African relations, especially considering China’s similar tariff elimination plan would still be in place. China already exports more to Africa than the US, so allowing this trade gap to increase only makes the US position more untenable. This is especially true since many, including South Africa’s President Jacob Zuma, say that China’s trade imbalance is unsustainable. Renewing AGOA will likely prove difficult given the current fiscal and political climate in Washington, but if Africa is treated with the importance it appears due, it is a conversation worth having.

On his recent trip to Africa, President Obama said “our commitment to Africa I based on our belief in Africa’s promise, and Africa’s future,” and announced a program to power Africa. But given the current climate in Washington, it remains to be seen if this is well timed political rhetoric, or an actual shift in policy. Western nations risk being economically and politically removed from some of the fastest growing markets in the world, and the consequences of falling behind are unpredictable at best. China’s rapid
rise, though advertised by CCP officials as peaceful, has already put the international community on edge, but so far there has not been a clear response to combat growing Chinese power and influence beyond strengthening security partnerships in the Asia-Pacific region. In the military realm, the US still reigns supreme and unchallenged, but if the age of globalization has created the mechanisms by which the battle for global supremacy is the stock market rather than on the high seas, the US and other Western powers are poorly strategically positioned for the fight. China’s engagement in Africa presents an exceptional, though far from perfect new model which any state can mirror, and Chinese missteps have created the opportunity to get ahead of their growing influence. But the US and other Western powers have a long way to go to be able to take advantage of these opportunities and turn the balance of power in their favor. If they do not act soon China will be able to cement their economic and political interests in all emerging markets to the detriment of the industrialized powers.
Sources

27. Obama, Barack. Town hall forum at the University of Cape Town. 29 Jul 2013.
39 Olander, Eric and Cobus van Staden. “Mr. Xi Goes to Africa.” The China in Africa Podcast. 03 Apr 2013.
50 Obama, Barack. Town hall forum at the University of Cape Town. 29 Jul 2013.