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The mission of the [Journal of Multidisciplinary Research](#) is to promote excellence by providing a venue for academics, students, and practitioners to publish current and significant empirical and conceptual research in the arts; humanities; applied, natural, and social sciences; and other areas that tests, extends, or builds theory.

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Editorial

Dear Friends and Colleagues,

Welcome to our tenth anniversary edition of the *Journal of Multidisciplinary Research* (JMR). According to etiquette, the modern 10-year anniversary gift is a diamond. Well, we did not get a diamond, but we had an incredible ride and along the way made the academic world a better place. As Giambattista Vico once said, “The truth is verified through creation or invention and not through observation.”

In my first editorial as an Editor-in-Chief, I promised to “focus on moving the journal forward, staying true to St. Thomas University core values...and ensuring our commitment to academic and professional excellence.” Today, I can tell you we kept our promises and more. The *Journal of Multidisciplinary Research* has published notable research from more than 100 universities and 30 countries from around the world. Researchers from top global universities to small liberal arts colleges published thought-provoking research and helped make the JMR a venue for academics, students, and practitioners for current and significant research.

The JMR is also listed and indexed by the most respected indexes and search engines in academia such as ProQuest, Cabells, EBSCO, Gale-Cengage, CiteFactor, Ulrich’s, de Gruyter, Elektronische Zeitschriftenbibliothek, National Institute of Standards and Technology, the Open University of Hong Kong Electronic Library, and many more.

To celebrate the 10-year anniversary of the *Journal of Multidisciplinary Research*, we decided to publish a special issue to showcase St. Thomas University faculty and students’ research. This Volume 10, Numbers 1-2 edition of the JMR features thought provoking research articles, book reviews, student articles, and a captivating interview with the Provost, Dr. Irma Becerra-Fernández.

When it comes to the JMR, we can all relate to what Henrietta Lacks once said, “A teacher has a kind of immortality because he or she never knows when his or hers influence stops radiating.”

Thank you for the ten remarkable years of growth, friendship, and academic contribution.

Onward,

Hagai Gringarten, Ph.D.

Founder, Publisher, and Editor-in-Chief

Welcome

Multidisciplinary research is in ascendancy around the world. There is recognition that excessively siloed research may have become somewhat self-serving. It runs the risk of isolated intellectual societies that research, disseminate, analyze, and publish in increasingly concentric circles; thereby risk losing external relevance in the process.

Interdisciplinary research is of particular salience in Business. Most students studying Business come to realize that the boundaries between siloed sub-disciplines are artificial and in constant flux. Sales projections from Marketing, for instance, serve as anchors to Income Statements; and Cash Budgets from Accounting, of course, impact everything related to the conduct of Business. Multifaceted phenomena, however, are not limited to Business alone. A complex society finds interconnectedness and interactions in all spheres of life. Hence, we sometimes speak of the Butterfly Effect, wherein the power to cause a cyclone in China is attributable to a butterfly flapping its wings in New Mexico. It may take a very long time, but the connection is real.

This Butterfly Effect, then, may well explain the motivations for multidisciplinary research. In this context, the *Journal of Multidisciplinary Research* has published notable and thought-provoking research from more than 100 universities and 30 countries from around the world in the last 10 years.

Words like *Multidisciplinary* and *Interdisciplinary* are of course value-laden in and of themselves. One may ask the following: Do articles published in multidisciplinary journals have to be interdisciplinary themselves, or are journals rendered multidisciplinary by the very dint of publishing articles from different genres and domains. I believe that the JMR has become a venue for academics, students, and practitioners by taking an egalitarian approach. Hence, the current issue covers articles ranging from Baptist theology to dividend premiums and everything in-between. If there is a unifying theme here, it is the tacit recognition of the aforementioned *Butterfly Effect*...an expression of the interconnectedness of phenomena, big or small. Some of the articles are unidimensional and combined with disparate unidimensional perspectives come together in multidimensional format. Others are inherently interdisciplinary in nature. They address the issue of the interdisciplinary approaches to scientific and social phenomena, and in so doing, add to the multidisciplinary ethos of the journal.

The JMR's reach has climbed through the first decade of its existence. My kudos to Dr. Gringarten and Dr. Fernández-Calienes for getting the journal cross-listed and cross-indexed. It has created an avenue for researchers and scholars from interconnected and disparate disciplines. In its own way, the JMR has catalyzed the need to recognize the complex interrelatedness of the world we live in. It has done this through the liberal employment of disparate research methods and analyses.

Som Bhattacharya, Ph.D.
Dean, Gus Machado School of Business

The Challenge of Baptist Action and Identity

Jonathan Best

Abstract

This article explores the need for qualitative methods and practical theology when analyzing Baptist practice and action. Baptist churches have unique worship practices that can vary from church to church. The meaning of these practices may differ even across the same denomination or association. This article advocates the need for a practical theological lens to explore Baptist worship practices, including customs and traditions. Drawing from his own research, the author describes how to explore practice through using the values, stories, behaviors, and overall experience of Baptists in community. Practical theology offers an opportunity to move away from speculative and theoretical approaches, and instead focus on the narrative and lived action of Baptist practitioners. The author incorporates a qualitative study on the practice of foot washing among the Original Free Will Baptists of North Carolina. The OFWBs have little in the way of a written history or theology of foot washing. Thus, it was impossible to use these sources as a starting point. Instead, the author used qualitative methods to explore this practice. Using the conclusions drawn from the personal narratives of OFWBs, this article shows the value of beginning with Baptist practitioners to understand Baptist practice.

Keywords: Action, Baptist, practical theology, qualitative, habitus

Introduction

Baptist action is a challenging area of study. Baptist congregations can have complex dynamics that vary widely across churches, associations, and conventions. Thus, action can make understanding the Baptist identity difficult and problematic. Baptist action and practice is not necessarily uniform, consequently congregations may hold different practices, customs, and traditions. In some cases, similar actions in one congregation may hold a different meaning or status in another. Local tradition can have a great influence on action, often spanning generations, giving these actions both theological and traditional significance.

This phenomenon should not be very surprising, at least to Baptists. The Baptist identity is deeply rooted in freedom, and this freedom naturally fosters variations in both action and the

interpretation of those actions. In 1983, Marty coined the *baptistification*, suggesting the unique spirit of the Baptist life. Shurden (1993) characterized this as a “spirit that pervades all of the Baptist principles or so-called Baptist distinctives. It is the spirit of freedom” (p. 2). This Baptist freedom partially explains how Baptist practices can differ. According to Shurden, freedom evokes an acceptance of diversity among Baptists, but this same freedom also contributes to critical differences between Baptists. Indeed, Baptist worship and practice is a testament to this freedom. Baptist churches are individually unique, rarely resembling with one another neatly in practice. This freedom manifests a special multiplicity in practice, tradition, and government among Baptists. In Shurden’s words:

No two Baptist churches are exactly alike . . . Baptist churches often affirm and acknowledge this diversity that is rooted in congregational church government. This diversity manifests itself as clearly in various style of worship as anywhere in Baptist life. (pp. 39-40)

Baptist freedom extends into the creedal tradition. Historically, Baptists are non-creedal, choosing not to identify themselves using a specific creed or confession. Consequently, this creates a problem for understanding Baptist identity. Freedom from creeds and confessions again suggests that being Baptist is a complex and diverse experience. Written theological traditions vary across associations, congregations, and individuals. There is no theological magisterium requiring any Baptist to affirm a creed, confession, or statement. Doing so would violate the radical freedom Baptists have in both their beliefs and practices (Shurden, 1993).

Freedom from creed, confession, or statement means that one cannot look to the ascribe identity using that criteria? One could fill in this gap with the Bible, but many groups affirm *sola scriptura*. Accordingly, understanding Baptist practice and action is not just a superfluous curiosity. Practice and action gesture toward the true meaning of Baptist identity. This identity relies more on the everyday congregational action and less on written traditions.

Baptist freedom naturally creates a problem in understanding congregational action. A group without a distinguishing creed or doctrine is notoriously difficult to understand theologically. For example, McClendon (2002) stated:

The churches that historians might justly call ‘baptist’ are distinguished by no authoritative creed; no single set of doctrines mark them off from all others; no finespun theory particularizes their way of life; no private ‘revelation’ separates them from other Christians. Recognition of these indisputable facts has led some to suppose that there could be no Baptist theology. (p. 26)

In this case, simplicity does not lend to easy explanations. McClendon (2002) addressed this problem in his *Systematic Theology*, namely the question concerning what is Baptist theology and where does one find it? McClendon suggested that narrative and practice is an area where one finds the manifestation of Baptist theology. Describing narrative theology, McClendon remarked, “Thus in Christian theology we are directed not only to Scripture, but to a rich variety of material – practices, stories, hymns, and history – as well as to confessions of faith and theological essays. Happily, such raw material is richly available for the baptist theologian” (p. 37). McClendon remarked that the narrative dimension is a “necessity,” yet he never fully

implemented it himself (p. 36). McClendon described the tools needed to obtain this narrative, the social sciences, as helpful. However, McClendon (2000) himself adopted a Milbank¹ like suspicion toward them.

An appeal toward social and practice theory, ethnography, and qualitative methods are noticeable absent in McClendon's work and Baptist theology. An appeal, or shift, toward the qualitative is important for two reasons. First, qualitative methods offer an important glimpse into Baptist action. A shift toward action is a shift toward behavior and meaning. Action can give a clearer social and theological text of congregational life. An action narrative should help to compliment Baptist theology, but it would be a mistake to assume that this narrative would mirror the written narrative. Instead, the action narrative may bring attention to elements missed by the written narrative. Namely, action provides a way to understand Baptist life and its subsequent diversity in both theory and practice. As such, the concept of *praxis* is immensely important. Praxis, according to Tracy (1981) demands personal involvement in understanding ones social-historical world. Moreover, a personal involvement means that one cannot overly depend on mechanist theories. Instead, praxis is a reminder that theory is at least partially dependent on practice.

Second, a focus on Baptist action helps to counter an over reliance on written theology. For example, Fisher Humphreys (2007) justified his exclusive focus on academic theology in stating, "Academic theologians leave behind them a paper trail of books and other writing that folk theologians usually do not" (p. 3). Written theology is easier to compile and compare. Written works provide a historical glimpse into the development and change of Baptists across centuries. Yet, an unbalanced focus on academic theology ignores the practical day-to-day practices of Baptist congregations. An exclusive focus on written theology unfairly privileges it at the expense of everyday practice. Besides, it is conceivable that Baptist groups would hold different or varying theological practices in and among congregations. How does one interpret these practices without qualitative or ethnographic investigation?

Baptist action, as a practiced theology, suggests a way of understanding the Baptist identity. An action narrative can help to construct a Baptist identity that incorporates more than a privileged few academic theologians. Written statements, like *Re-envisioning Baptist Identity: A Manifesto for Baptist Communities in North America* (1997), do help in understanding Baptist identity using careful biblical and theological language. To clarify, a shift toward Baptist action does not negate its written theology, but it does offer the opportunity for re-imagining Baptist identity through collective co-authorship with congregations (Scharen & Vigen, 2011). Understanding Baptist action offers an opportunity to construct a theology with others through bridge building efforts using qualitative and ethnographic methods.

Shift toward the Everyday

Baptist action offers a theological narrative that one can interpret and understand. A theologian's situation determines his or her perspective (Gadamer 1975/2004). One cannot escape from his or her own perspective or situation. However, action can create a new interpretative horizon that opens meaning beyond the theologian's initial perspective. Therefore,

¹ John Milbank is an English Anglican theologian known for his criticism of any relationship between theology and the social sciences.

action produces new interpretive paths through the formation of a new interpretive horizon. This *action horizon* widens the theologian's perspective to include those voices missed in academic narratives. Oral stories, performances, and tradition, help garner or challenge the theologian's perspective. Consequently, action opens the conversation into what Gadamer coined as a *fusion of horizons*. This fusion, between theory and practice, opens a path toward a new Baptist praxis including all Baptist narratives. Moreover, it widens one's theological scope beyond academia, drawing others into the theological conversation.

Through conversation and co-authorship, a shift toward everyday practice widens the theological scope. This shift involves changing one's perception of everyday practice. Henri Lefebvre (1974/1991), philosopher and sociologist, suggested that the everyday is not a supplemental study of human behavior, but the study of the total human experience. Everyday life, Lefebvre noted, embodies the totality of the human experience. Consequently, the everyday is not a curiosity or an extra aspect of human nature, but encompasses all human activity, action, and practice. Everyday life, Lefebvre concluded, is "profoundly related to all activities, and encompasses them with all their difference and their conflicts; it is their meeting place their bond, their common ground" (p. 97).

The study of everyday life considers humanity in all its complexity, especially in its day-to-day implications. Kevin Vanhoozer (2007), advocated for an everyday theology. He proposed that the everyday is "not only our physical location but the moral, intellectual, and spiritual atmosphere in which we live and breathe as well. It is the ordinary practices that fill our days, the songs and messages that fill our minds, and the products that fill our homes and offices" (p. 18). The everyday is not something that occurs outside of church, as if were only a secular activity, instead the everyday comprises church identity. What happens both in and out of prescribed worship is important and necessary for understanding Baptist identity. A shift to Baptist everyday life is a shift toward the actions comprising the Baptist identity, including worship, traditions, and customs. Baptist action is the action of the everyday, incorporating all of what it means to be Baptist. To miss this, or to focus solely on written theology, risks omitting the Baptists from their own theology.

Several theologians (e.g., Bevans, 2011; Browning, 1991; Pattison, 2007) advocated that it is a theological necessity to engage culture. Though important, there is also a need to understand the everyday life of church culture, particularly the Baptist culture. Regular churchgoers, non-academics, offer a rich theological ground for telling the Baptist story as the primary players of this story. Engaging with the Baptist everyday life is listening to those whose voices that theologians may unknowingly omit in theological reflection. Thus, engagement helps Baptists to tell their story on their own terms. Theologically this means a preferential option for the everyday. Everyday life is an intentional return to those who comprise the lived Baptist praxis in all its complexity, diversity, and freedom. The everyday is, at least for Baptists, the simplicity of church homecomings, local traditions, potluck suppers, and Sunday school. Moreover, the everyday brings important attention to those who live and make the everyday special in its day-to-day, Sunday-to-Sunday normalcy. This normalcy consists of the grandmothers, Sunday school teachers, farmers, pastors, and deacons who carry out and celebrate Baptist community, spirituality, and freedom in its lived praxis.

The Baptist everyday life includes the daily actions and practices that keep the Baptist experience alive through all its diversity. This journey into the everyday is a journey into the mystery and uniqueness of the Baptist experience. It is an affirmation of Baptist congregations

and practitioners as creators of meaning and interpreters of scripture. Here the importance of understanding Baptist praxis reveals itself, for it is in action and practice that Baptist identity reveals itself. Action gives birth to a new reality, a reality of the gesture, which pushes forward a way of relating to a written tradition. Henri Lefebvre (1974/1991), stated how

Every word, every gesture constitutes an act, and acts must be understood according to their purpose, their results, and not merely in terms of the person speaking and action, as though he could somehow express or ‘externalize’ his [or her] reality and sincerity. More exactly, words and gestures express an *action*, and not simply some ready-made ‘internal reality.’ (p. 135)

Action is purposeful and directed toward a specific goal, creating a specific reality or being-in-the-world that is the Baptist praxis. Everyday life is thus an extension of reality. According to Lefebvre:

They [the actors of everyday life] extend reality, and are equally as real; acting explores what is possible; in the abstract, play-acting does not exclude sincerity; on the contrary, it implies it, while at the same time adding something extra – something real: the knowledge of a situation, an action, a result to be obtained. (p. 136)

Baptist action and practice extends the Baptist reality, reflecting and shaping the Baptist identity over generations. This Baptist praxis reflects what French philosopher Pierre Bourdieu (1972/1987) described as its *habitus* or structured behavior. The habitus consists of the self-regulated series of moves and behaviors that form group action, such as ritual, which appear to be second nature. Bourdieu explained that the habitus is “systems of durable, transposable *dispositions*, structured structures predisposed to function as structuring structures . . . which can be objectively ‘regulated’ and ‘regular’ without in any way being the product of obedience to rules” (p. 72). The habitus establishes what it means to Baptist, in action and practice, and not as an outside force. The habitus does not control or program action. Instead, it prescribes practical behaviors such as routine. In his work, Bourdieu sought to curb the social scientific tendency to jump to mechanistic theories at the expense of human action. He stated that it is “necessary to abandon all theories which explicitly or implicitly treat practice as a mechanical reaction, directly determined by the antecedent conditions and entirely reducible to the mechanical functioning of pre-established assemblies” (p. 73). Consequently, what the habitus suggests is that all groups, such as Baptists, collectively share a series of behaviors, actions, and traditions that are durable and regulative. In principle this is simple, Baptists share a unique history and experience that constitutes an identity. Yet, habitus also points to the complexity of the Baptist identity, encompassing the unique congregation-by-congregation customs and traditions that makeup the congregational praxis. Baptists share a corporate associative habitus, the norm that one can reasonable expect in any Baptist church, and the specific habitus or “matrix of perception” (Bourdieu, 1972/1987, p. 82) specific to individual congregations.

It is this specific habitus that holds the most interest for understanding Baptist praxis and identity. At the congregational level, participants have the freedom to modify and adapt action tactically in a way that is not available at a wider level. Locally, Baptists have the freedom to implement and modify their actions and practice, leading to a diversity in the Baptist habitus.

The four freedoms of Baptist identity (Bible, Soul, Church, Religious) have diverse implications at the congregational level (Shurden, 1993), and it is this freedom for diversity that makes each Baptist church unique. This diversity originates neither in theology nor doctrine, but in a praxis influenced by a specific habitus. This suggests that Baptists (and perhaps other religious groups) establish a social order primarily around shared action and practice rather than doctrine or theology. Bourdieu (1980/1990) described this as *practical belief*, a state of the body rather than the mind. Practical belief inscribes action on the body as a “living memory pad” (p. 69). This bodily inscription creates a storehouse of prescribe action, behavior, and dispositions. Therefore, embodied action, or *bodily hexis*, turns action into a permanent way of being-in-the-world. When shared, embodied action establishes space for prescribed ways of speaking, thinking, and acting in community.

The idea of practical belief proposes that groups form identity through the body rather than the mind. This is not social programming; rather habitus provides the framework of how to act within a community, providing individuals with a practical sense of appropriate action and behavior. In the case of Baptist life, this involves determining what framework establishes identity at a congregational level. Moreover, habitus helps to shift the theological perspective from shared doctrine to shared action.

With this framework in mind, action and practice provide an important lens for understanding Baptist theology and tradition at the local level, a level often difficult to discern. The difficulty Gadamer (1975/2004) described:

The very idea of a situation means that we are not standing outside it and hence are unable to have any objective knowledge of it. We always find ourselves within a situation, and throwing light on it is a task that is never entirely finished. (p. 301)

In other words, this is about understanding one’s limited perception or situation as an individual. A theologian can never replace his or her own lens or perspective, but he or she can use tools that will help widen that perspective. A focus on action, and by extension the people performing these actions, can greatly aid in understanding Baptist identity. More importantly, studying action and behavior require engagement with Baptists through qualitative and ethnographic methods (e.g. Scharen & Vigen, 2011). Community engagement helps in the process of understanding Baptist identity and in constructing a local theology. Local theology brings in the community to not just tell the story, but also actively participate in shaping and bringing that story to live. Scharen and Vigen (2011) proposed, “The aim of ethnography is not merely to confirm or prove false one’s hypothesis or theoretical claim. Rather it is to learn from the scene itself . . . on its own terms” (pp. 26-27). In doing so, the theologian is better able to account for the local interests of Baptist congregations. Thus, such a perspective echoes Geertz’s (1973) recommendation that a “good interpretation of anything . . . takes us into the heart of that of which it is the interpretation (p. 18).

Qualitative and ethnographic methods offer a perspective of Baptist freedom at the level of the local church, and how this freedom from contributes to a freedom with other Baptists. From a theological point of view, this freedom makes Baptists diversity an interesting qualitative study. For example, elements of Baptist worship such as hymns, implementation of ordinances, pedagogy, pray requests, altar calls, special events, outreach, and traditions, have a powerful influence in shaping the local Baptist identities. These seemingly insignificant actions, such as

hymn choice or prayer, help to shape worship and local identity. Over decades, the extension of these actions has the potential to create varying and unique local congregational identities across the Baptist spectrum. Baptist freedom can enhance this process, creating today's Baptist diversity. These two poles of freedom, from and with, suggest an identity that is both complex and nuanced in implementation. It is this same freedom experienced among the Original Free Will Baptists and their practice of foot washing.

Qualitative Research in Action: Original Free Will Baptists

The position of Original Free Will Baptists² within the Baptist story is debatable. Nonetheless, practically speaking, OFWBs hold many of same Baptist freedoms of their Baptist relatives. This outsider-insider position may in fact clarify the connection between Baptist action and identity.

The OFWBs are located primarily in Central and Eastern North Carolina. While numerically small, with fewer than 50,000 adherents, they are rich in history ("Original Free Will Baptist," 2000). The OFWB community traces its history to the English General Baptists, who as early as 1700 were worshipping in North Carolina (Convention of Original Free Will Baptist, 2001). The community traces its history to Paul Palmer, who established and pastored the first General Baptist church in Chowan County, North Carolina. Today, the home of OFWBs remains North Carolina. Their membership includes two-hundred and forty OFWB churches stretched across North Carolina, including a small number in South Carolina and Georgia. Regarding foot washing, OFWBs have consistently practiced foot washing throughout their history. Beginning with its General Baptist heritage, OFWBs conducted the practice of washing feet almost universally. Although not required for church membership, currently most OFWB churches considered it an ordinance (Pelt, 1996).³

The OFWB *Articles of Faith* state that it "teaches humility, the necessity of the servanthood of every believer, and reminds the believer of the necessity of a daily cleansing from all sin (Convention of Original Free Will Baptists, 2001)." Foot washing is not unique to the OFWB but "it is one of [their] distinctive beliefs and practices, and it makes a very strong theological statement about the stance of the [Original Free Will Baptist] Church and the attitude for ministry (service) among both clergy and laity" (Cherry, 1996). The OFWB logo, a basin of water and a towel at the foot of the cross, reflects this foot washing tradition.

Within OFWB churches, foot washing is a modest practice that traditionally follows communion. During this time, it is common practice for men and women separate to wash one another's feet.⁴ Usually involving only basins of water and girded towels, it is simple in design but powerful in meaning. Participants do not find significance in the items used, but in the undirected actions. Foot washing is a simple practice. Its movements and gestures do not require any special effort to mimic and learn.

² Henceforth identified as OFWB.

³ An ordinance is an outward expression of faith done in remembrance of Christ. Unlike a sacrament, it does not convey grace. Many Baptist churches hold to two ordinances: baptism and communion. OFWB are unusual in that they also include foot washing as an ordinance.

⁴ It has been the practice of OFWBs to have men wash men's feet and women wash women's feet. This is for modesty purposes. Men and women may go to separate rooms or to private areas in a fellowship hall or a large room.

The items used in foot washing are, for lack of a better word, common. The plain pails of water and towels do not carry any special liturgical significance. Simple and unadorned, the pails and towels used are boring and unattractive. The pails hold just enough water to immerse one's foot. Towels are equally modest. These towels are simple, normal, and uninteresting items. Thin and frayed from age, one picks up one of these towels and girds it around the waist. The pastor does not bless or make holy the pails or the towels. They do not hold any divinely given powers. These items are nothing more than what they are physically.

After girding oneself, one waits for the other to remove his or her shoes. While waiting, one kneels. The other slowly places his or her foot into the pail of water one foot at a time of water. While kneeling, one takes the other's foot and lightly sprinkles water on it. Cradling the foot in one hand, the other hand runs water across the foot. Delicately running one's fingers through the water, the water slowly drips onto the foot. The water from the hand passes to the foot, connecting participates with shared water. After drying the other's foot with the girded towel, the process repeats on the other foot. Once completed, participants exchange places. The whole process is quick, lasting no more than a few minutes.

Once each person has had the opportunity to participate, participants wash, clean, and store the pails and the towels until needed again. Participants exchange hugs and words of love, give prayers, and the community comes together. Participants may sing hymns and words of praise. The pastor may direct this action, but it is often undirected action. The people simply gather in love and fellowship.

The only materials used are basins of water and girded towels, therefore it is simple in design, but it holds a powerful meaning. Its significance is not in the materials used, but in the actions performed. Foot washing does not require any significant practice or effort to learn. Each participant can wash another's feet and have his or her feet washed in return. The whole process is quick, lasting know more than a few minutes. Afterwards, participants exchange hugs and words of love.

In 2015, I began researching the OFWB practice of foot washing (Best, 2016). The goal of this research was to determine feelings and beliefs around this practice. The OFWB has little written theology on foot washing. However, there is an abundant unwritten tradition and theology, which made them an ideal candidate for learning how actions influence local theology.

I used multiple qualitative approaches to listen to OFWB foot washing story. Listening to these experiences involved self-administered questionnaires, interviews, focus groups, and participant observation. These approaches compiled a narrative of the OFWB foot washing experience. I focused primarily on the stories and experience of pastors and laypersons. These experiences ranged from the personal testimonies and history to participant observation. Foot washing is fundamentally a ritual action made possible by its participants, so research focused on OFWB foot washing participants.

These approaches included open-ended questionnaires, telephone interviews, focus groups, and some participant observation. Interviews and the focus groups represented the bulk of the gathered narrative. In total, in addition to 147 open-ended questionnaires, I recorded approximately over 20 hours of audio these interviews. Across questionnaires, interviews, and focus groups, I encouraged participants to share stories and experiences of foot washing. Their feelings and attitudes towards those experiences were especially important in constructing the narrative. In addition, interviews and focus groups included questions on how foot washing

formed identity and community. From the material came the building blocks from which to build the OFWB narrative (Best, 2016).

Results and Implications

The lack of an established written theology heightened the degree of freedom pastors and congregations had in both implementing foot washing and applying its lessons into everyday practice. This freedom consequently heightened foot washing's impact on the character and identity of OFWB pastors and members. Because there was a degree of freedom in foot washing's execution, this naturally increased the diversity of the practice within the OFWB (Best, 2016). Pastors and members frequently characterized foot washing as serious, lighthearted, or somewhere in-between. As an action, foot washing can be a time for silence or casual conversation depending on the congregation. This created some interesting scenarios and stories from OFWBs who when joining a new congregation, had to transition into practicing a familiar practice in an unfamiliar way.

Across congregations, both pastors and members expressed the various particularities involved in the conduction of foot washing. Many of these were small changes, yet repeatedly these small things held the most significance among practitioners. Participants cited changes, such as the water temperature, as having profound implications on OFWB's experiences and memories of foot washing (Best, 2016). The debate over these changes was not about doctrine. Debate centered on how these actions best carried experience and memory. These physical behaviors and objects carry on a knowledge of a lived practice. A point Merleau-Ponty (1945/1999) suggested when he wrote that a human "transcends [oneself] towards a new form of behavior, or towards other people, or towards one's own thought, through one's body and one's speech" (p. 194). Consequently, any change in either these behavior or objects risked endangering the community's very memory and experience. Rapport (1999) concluded:

The body communicates both to the self and to others not only what could be conveyed by an apparently corresponding set of words . . . but also a commitment of the living self to that message. Such physical acts seem to be more than 'mere talk.' It is the visible, present, living substance - bone, blood, gut and muscle - that is being 'put on the line.' (p. 146)

In OFWB foot washing, actions are important to forming both individual and corporate identity. Especially among pastors, it is the repeated practice of foot washing that keeps this action meaningful. Among OFWB, foot-washing carriers on through practice rather than doctrine, as it is experience that inspires OFWBs to continue foot washing. Much of this is due to its multigenerational nature that causes OFWBs to reflect on the history of the practice and those who have passed (Best, 2016). It is a way for OFWBs to live out the identity first established by their parents and grandparents, thus it is their way of re-connecting with the past and present. OFWBs are connecting and re-presenting that history into the present. Furthermore, this action shapes their identity, motivating OFWBs to carry on the experience with their children and grandchildren (Best, 2016). OFWBs re-present history into the present subconsciously. The history lives within OFWBs themselves. Through foot washing, participants pass on this history. Thus, foot washing becomes their identity. Consider what one interviewed participant stated:

You're getting those pails out, these are the same pails that were potentially used forty or fifty years ago. It's just a feeling of history and a feeling of foundation in the church when you're getting those [pails] out. And those long towels that you try to wrap around your waste, and they seem to get shorter as time goes on. You're using the same towels, potentially, that we used twenty years ago. Only used four times a year so they'll last a long, long time. It's not only a spiritual thing, but it puts you up with the history of the church and the history of the denomination. That you're still doing it the old way. (Best, 2016, pp. 155-156; OFWB member, interview, January 26, 2015)

In my research, I discovered foot washing to be an ongoing and dynamic process. Through action, OFWB congregations create unique experiences, which in turn generate new meanings that can vary across congregations. Usually these meanings are variations on similar themes, such as humility and service, but the implementation of these themes are often remarkably different (Best, 2016). Congregations direct the meaning of foot washing through practice as creators of meaning and experience. These meanings originate in the moment in collaboration with the group habitus. The habitus serves as the base of these experiences, acting as a storehouse of collective history. In situations where a written theology is scarce or non-existent, the collected history lives within the participants. Foot washing is what OFWBs have always done, especially those raised as OFWB. Moreover, several pastors and members reiterated that foot washing is an act that many just know how to do (Best, 2016). It is an action they have lived their entire lives. To learn and understand foot washing requires participation, doing the action. Further still, the action of foot washing shaped OFWB identity in a way that prepared them for further action. Future action is an outcome of present action. This recalls Smith (2013), who pushed against "an 'intellectualist' account of action that assumes that what I do is the outcome of what I think" (p. 33). Foot washing is an example of how action educates and forms identity, using action to teach an unwritten theology. For example, Uzukwu (1997) emphasized that "the rite is a gesture (body movement), it seeks its meaning within a social body. This fundamental reference of ritual to the community indicates how interdependent humans are: humans express by acting together their belonging to a social body" (p. 47).

What was gained with Qualitative and Ethnographic Methods

Among OFWBs, the lessons imparted by this action, servant-hood and humility, are important because of practice rather than doctrine (Best, 2016). It resembles the OFWB version of *Lex orandi, lex credenda* (the law of praying [is] the law of believing). Research showed that this action created doctrine for OFWBs, a doctrine built on practice, tradition, and experience. It is also reasonable to assume that this same kind of phenomenon also occurs among other Baptists. The diversity of the Baptist experience, as expressed in its four freedoms, suggests that there is a plethora of local congregational actions yet explored or overlooked by theologians. In addition, theologians should not interpret congregational action without considering congregational experiences and perspectives.

Practical theology, using qualitative and ethnographic methods, offers a way to consider action seriously. Ethnographic approaches make it possible to "get a deep reading of what is there – on its own terms" (Scharen & Vigen, 2011, p. 27). Using tools that can gather and

compile narratives, practical theology enables one to enter the conversation with the everyday practices that comprise Baptist life. Simple methods, such as personal interviews, present a way to do to theology with local congregations, in a way that incorporates Baptists into the theological process. This is immensely important at the congregational level, a level that typifies the Baptist experience. What Baptists are doing locally, through their actions and practices, offers a way to understand Baptist identity. Otherwise, theologians run the risk of doing theological guesswork or worse, speaking for Baptists without considering their freedom and diversity.

I discovered this freedom and diversity among the OFWB. Through conversing with their stories and experiences, I encountered a rich theological narrative that surpassed anything I expected. In conversation, I was better able to understand how foot washing shapes their identity. This action expressed their Baptist freedom. In its practice and implementation, foot washing carries their Baptist identity (Best, 2016). This is an identity of freedom, freedom to serve, freedom to equality, and a freedom to love. Additionally, foot washing carries their freedom to interpret and implement the biblical narrative found in John chapter 13. Yet without practical theological methods, it would have been nearly impossible to enter and engage this freedom holistically.

This also requires an in-depth look into Baptist congregational habitus and praxis. First, looking at the habitus examines what congregational frameworks are working within Baptist churches. Thus, the habitus can shed light on Baptist congregational identity. This includes the second-nature actions, such as practices and behaviors, that Baptists perform habitual both in and out of worship. Including, how these actions influence Baptists perception of both themselves and their world. Second, consideration of Baptist praxis, the outcomes of habitus, recommends reviewing how Baptist act in both thought and practice. Baptist praxis here is being the things Baptist do because of their identity. For example, the OFWB praxis is relational (Best, 2016). The outcome of their habitus, their framework, is one of relational action. Meaning that actions like foot washing, have the intent and purpose to create communal bonds, pass on stories, and prepare one to serve others.

Qualitative methods, as used by practical theology, draw attention to the theological creativity of action. All too often, theologians overlook action with the assumption that it is outcome of an external theology. Meaning action simply puts into practice a theology constructed elsewhere. This attitude ignores the immense creativity of congregational worship, including how Baptists adapt and change worship, and the way this creativity drives identity. More importantly, qualitative methods help to expose the inherently value-laden nature of action. Action, practices, and traditions, carry what Swinton and Mowatt (2006) described as “their own particular theological meanings, social and theological histories, implicit and explicit norms and moral expectations” (p. 19). Actions are not empty vessels, instead they play an important role in crafting local theology and identity, both influenced by and influencing the congregational habitus for generations.

The importance of action aligns with recent work by Goroncy (2017). Goroncy identified Christian habits as fundamental for the shaping the theology of a Christian community. Grounded in a divine story, communal habits help explain ideas and act out religious narratives. In turn, these habits are instrumental in communal formation. When expressed in worship, these habits create powerful learning tools. Thus, Goroncy determined that:

Worship is the training ground in which, it is believed, God meets and forms person after the character of an alternative rule. Worship is the way that really good news gets into our bones and under our skin. That is why the physicalities of worship and the embodied nature of liturgy – kneeling, standing, drinking, etc. – and the aesthetics of worship, and the role of the imagination, are indispensably vital. (p. 39)

These habits are especially important in Baptist contexts. The Baptist freedoms are not an outcome of theory alone; they originated in the historical and theological values expressed through a series of long-term actions. This reflects Jordan's (2005) conclusion that, "[w]hereas most organizations rarely draw overt attention to their value system, in worship congregations regularly and publicly articulate the values to which they aspire and which they invite others to adopt" (p. 113). Thus, these actions may very well be both the source of Baptist unity and diversity. Supplementing constructed theologies and statements, actions help demonstrate the Baptist distinctiveness. It is easy to take for granted these actions, practices, and traditions when done over a long period. Considering the value-laden nature of Baptist practices and narratives, theologians should widen their theological scope and incorporate the very people who live out the Baptist identity day in, day out. Theological research necessitates attention to the complex communal activities that take "place in fellowships, in solidarity with others" (Forrester, 2000, p. 6). Moreover, engaging congregational action offers theologians an excellent source of what Bryce (2017) described as *contextual education*. Education and understanding obliges the theologian to leave the academy and engage his or her community.

Thus, understanding Baptist actions requires sustained engagement by theologians willing to do theology with their local congregations. This does not mean that social sciences should replace theology. Instead, practical theology offers a way to implement cross-disciplinary dialogue that will help tell local Baptist stories. A sociological frame of reference "is not enough to merely describe the meaning participants ascribe to their action; it is also important to explore how these meanings are constructed, and to trace the resources participants draw from in this meaning-making exercise" (Guest, 2005, p. 101). The social sciences can cast a light on stories that for the most part go unnoticed by traditional theology (e.g., Scharen, 2015, p. 103).

Baptist theologians work to tell the Baptist story, but telling this story involves entering the story. Once in the story, theologians will be in a better position to do theological work that reflects Baptist history, tradition, and culture, as true participants rather than outsiders.

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Discussion Questions

1. How might actions and practices help researchers understand other communities?
2. What challenges does qualitative research pose when studying the actions of communities?
3. How can Bourdieu's idea of habitus help researchers in other contexts (both secular and religious)?

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Dividend Yields, Bond Yields, and the Dividend Premium

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and

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Abstract

Empirical tests of the catering theory find that the dividend premium, which measures the relative stock market valuation of dividend paying to non-paying firms, influences corporate dividend policy. Researchers know less about the factors that affect the dividend premium. We offer the yield-spread hypothesis: Investors place higher valuations on dividend-paying stocks when dividend yields are relatively high, compared to fixed-income yields. We show that the dividend premium rises with the spread between the S&P 500 dividend yield and various bond yields after controlling for sentiment, demographics, taxes, agency problems, signaling, and economic growth. The results align with media stories stating investors prefer dividend-paying stocks in low interest rate environments when interest rates are low.

Keywords: dividend premium, catering theory, payout policy, dividend yield, bond yield, yield spreads

Introduction

Miller and Modigliani's (1961) theoretical paper on dividends led them to their famous proposition that dividend policy does not affect firm value. They arrived at their conclusion by

assuming perfect capital markets, a fixed corporate investment plan, and other factors that are not representative of the real environment in which investors and firms operate. Subsequent research relaxes these assumptions to understand the dividend policy choices of managers.

Baker and Wurgler (2004) (hereafter “BW”) propose the catering theory of dividends. BW relaxes Miller and Modigliani’s (1961) assumption that stocks are always priced efficiently. They theorize that investor demand for dividend-paying stocks varies through time, leading to mispricing of firms that pay dividends, versus those that do not. BW call this valuation differential the “dividend premium,” which they calculate as the natural log of the ratio of average market-to-book values of dividend payers to non-payers. BW hypothesize that managers know when their firms are mispriced along this dimension and make dividend policy decisions accordingly to maximize shareholder value. For example, BW predict managers more frequently initiate dividends when investors place a relatively high valuation on firms that pay them.

The empirical evidence in samples of U.S. stocks supports the catering theory. BW show that changes in the dividend premium explain 60% of the annual variation in dividend initiations over a 40-year sample period. Bulan, Subramanian, and Tanlu (2007) find that a higher dividend premium provides an extra incentive to initiate dividends for mature, cash-rich firms with low growth opportunities. Li and Lie (2006) investigate a sample of dividend increases and decreases (as opposed to BW’s first-time dividend initiation sample) and show that the dividend premium explains variation in these ongoing dividend decisions.

Catering incentives also drive dividend decisions internationally. Ferris, Jayaraman, and Sabherwal (2009) show that higher dividend premiums drive dividend decisions in common law countries and Scandinavian civil law countries. Byrne and O’Connor (2017) find that the dividend premium remains significant in explaining variation of dividend decisions of firms after controlling for creditor rights and culture in their sample of over 25 countries. These panel data studies are complemented with a host of single-country studies, such as in Taiwan (Wang, Ke, Lin, and Huang, 2016) and in Jordan (Ramadan, 2015), that show higher dividend premiums increase the propensity to pay dividends.

The global evidence on the dividend premium’s association with dividend decisions makes it a ubiquitous control variable in payout policy research. Additionally, several researchers try to improve upon the measurement of the dividend premium (e.g., Karpavicius and Yu, 2018) or devise more modern measures of time-varying dividend demand (e.g., Kumar, Lei, and Zhang, 2017). Despite this increased attention, Lee (2011) highlights the scarcity of research into factors affecting the dividend premium.

This article fills this gap in the literature by proposing that the spread between the dividend yield on stocks and various fixed-income yields positively affect the dividend premium. Numerous stories in the financial press discuss the tradeoff between dividend yields and low interest rates. For example, Kaplinger (2013) writes “The persistent low interest rates from the Federal Reserve over the past five years or so have crushed savers...with rates on CDs falling to 1% or less...many have...felt forced to do so, shifting toward dividend-paying stocks.”

This anecdotal evidence suggests that the fixed-income market and dividend-paying stocks form part of an investment opportunity set for investors seeking securities with cash distributions. Firms that pay dividends tend to do so at regular intervals and rarely reduce them (see Lintner, 1956) and Brav, Graham, Harvey, and Michaely, 2005). These two features make dividends a viable substitute to interest payments from debt securities.

We hypothesize that when bond securities offer relatively low yields, investors seek current income from alternative investments, such as dividend-paying stocks. These dividend-paying stocks may receive higher valuations relative to non-payers from this increased demand, which translates into a higher dividend premium. The evidence in this paper broadly supports the yield-spread hypothesis: after controlling for other variables that may affect the dividend premium, such as investor sentiment, age variation in the population, agency problems, signaling, tax differentials, and business cycle fluctuations, the dividend premium positively correlates with the spread between the S&P 500 dividend yield and the 10-year Treasury bond yield. Our results also hold using the spread between the S&P 500 dividend yield and that of both Moody's Aaa-rated corporate bond yields and Baa-rated corporate bond yields.

This paper contributes to the existing literature on dividend policy by offering a new factor that helps explain the variation in the dividend premium, the force behind the catering theory of dividend policy. Our findings open the door for future tests to ensure our main results apply internationally. Finally, corporate managers that want to understand what factors drive changes in the relative valuations of dividend payers and non-payers may find our results useful.

Literature Review

BW attributes the link between the dividend premium and dividend decisions to managers rationally catering to their shareholders by exploiting market mispricing. They arrive at this conclusion in several steps. First, they systematically eliminate explanations related to time-variation in firm characteristics, such as growth opportunities, and agency costs because these reasons did not fit their full set of results. However, as discussed below, Liu and Shan (2007) find evidence that the dividend premium proxies for agency costs, so we control for it in our empirical specifications.

BW then ask, "Who are managers catering to?" BW show that managers do not appear to be catering to clienteles based on tax concerns, transactions costs, and institutional investment constraints. This corresponds with survey evidence from Brav et al. (2005) that suggests managers do not consider the demands of clienteles of any sort. Recently, however, Karpavicius and Yu (2018) do find that differences between capital gains tax rates and dividend tax rates help explain variation in their measure of the dividend premium. Thus, we control for tax differentials in our empirical tests.

BW provides evidence that managers cater to investor sentiment: the dividend premium increases when the closed-end fund discount increases. The closed-end fund discount correlates negatively with investor sentiment (Zweig, 1973). As the closed-end fund discount rises, investors may drive up the relative valuation of dividend payers versus non-payers if they perceive the former as safer investments. While investor sentiment appears to play a pivotal role, BW admit that unresolved issues with what the closed-end fund discount truly measures detracts from its theoretical link with the dividend premium. This also leads us to use another measure of investor sentiment as a control in our model.

Other studies also try identifying variables affecting the dividend premium. Liu and Shan (2007) tied changes in the dividend premium to proxies for agency costs and signaling motives theoretically linked to dividend policy (e.g., Jensen, 1986 and Bhattacharya, 1979, respectively), but Lee (2011) notes their results vanish when adding a time trend to the model. Nonetheless, we control for variables from Liu and Shan (2007) in our empirical models.

Lee (2011) finds that the dividend premium correlates positively with annual changes in the proportion of persons aged above 65 to those aged under 45. This result aligns with other research pertaining to dividend policy and demographics. For example, Becker, Ivkovic, and Weisbenner (2011) show that firms headquartered in areas where seniors comprise a sizable percentage of the population are more likely to initiate a dividend. Additionally, Graham and Kumar (2006) find older investors tend to buy stocks after dividend announcements and just before the ex-dividend date.

We did not find previous literature on whether the difference between dividend yields and bond yields affect the dividend premium. This is surprising given the media coverage linking the demand for dividend paying stocks to low interest rates. For example, an article from Zacks Investment Management in 2016 states, “Like no other time in history, investors are turning to stocks as yield assets. Why? Because dividends, generally, have been on the rise and stocks are yielding more than traditional fixed income instruments.” More recently, Wursthorn (2018) mentions rising interest rates dampened enthusiasm for dividend-paying stocks.

Hypothesis

The level of interest rates in the economy affects every investor to a certain degree as yields on outstanding and new securities compete with other types of securities for investors’ funds. Dividends offer a way for companies to cater to investors seeking yield in times of low interest rates, especially if the firm had been on the fence about initiating a dividend.

We assume that there are classes of investors that prefer dividend-paying stocks, often called dividend clienteles, because they offer regular cash payments. We conjecture that these investors also consider the yields available on other types of cash distributing securities when they make their portfolio choices. A relatively high spread between dividend yield and fixed-income yields may result in higher valuation on dividend paying stocks (i.e., a higher dividend premium) as investor demand pushes prices higher. On the other hand, when the bond yields are comparatively high, dividend-paying stocks lose their relative appeal since investors can obtain acceptable streams of cash from interest-bearing securities. This leads to the yield-spread hypothesis:

H1: *The dividend premium correlates positively with the spread between dividend yields and yields on fixed-income securities.*

Method and Sample

To test the yield spread hypothesis of the dividend premium, we run OLS regressions using annual times series data from 1966 to 2015. We include control variables found in other models of the dividend premium to test the yield-spread hypothesis in a multivariate framework. The main model is (time subscripts suppressed):

$$\text{Dividend_Premium} = \alpha + \beta_1 * \text{Treasury_Spread} + \beta_2 * \text{Old_Young} + \beta_3 * \text{Cefd} + \beta_4 * \text{Tax} + \beta_5 * \text{Prof_Prem} + \beta_6 * \text{Cash_Prem} + \beta_7 * \text{GDP} + \beta_8 * \text{Time} + \varepsilon \quad (1)$$

The variables, the data sources, and the expected signs on the coefficients are below.

A. Dependent and Main Independent Variable

Dividend_Premium = the dependent variable in all models. It is the difference between the natural logs of the value-weighted market-to-book ratios of dividend payers versus nonpayers. BW created this variable, and the values come from Jeffrey Wurgler's website, <http://people.stern.nyu.edu/jwurgler/>.

Treasury_Spread = the main independent variable of focus. It is the difference between the dividend yield of the S&P 500 index and the 10-year US Treasury note yield. The data on the Treasury note is on the Federal Reserve Economic Data (FRED) website and the S&P 500 dividend yield is crosschecked from various publicly available sources. Our hypothesis predicts a positive slope coefficient: The dividend premium increases as the spread between dividend yields and fixed-income yields increases.

B. Control Variables

Old_Young = the change in the older-to-younger ratio defined by Lee (2011) as the proportion of the population above 65 to those aged under 45. It proxies for changes in the age structure of the population. The data comes from the U.S. Census website, <https://www.census.gov/>. The anticipated sign is positive. The dividend premium increases as the age structure of the population tilts towards older individuals.

Cefd = the closed-end fund discount which measures the value-weighted difference between the price of closed-end mutual funds and their net asset value. It proxies for investor sentiment and a higher value for Cefd implies worse sentiment. The data come from Jeffrey Wurgler's website, <http://people.stern.nyu.edu/jwurgler/>. We predict a positive coefficient.

GDP = the annual real GDP growth. Lee (2011) includes this variable in his models to control for business cycle fluctuations. The data are on the FRED website.

Tax = the ratio of the maximum statutory Federal tax rate on qualified dividends divided by the marginal capital gains tax rate. The data come from publicly available sources.

Prof_Prem = is the profitability premium defined by Liu and Shan (2007) as the natural log of the ratio of the value-weighted future return-on-assets ratios for dividend payers versus nonpayers. It proxies for managers' need to signal profitability. Liu and Shan (2007) contain the data and we expect a positive coefficient.

Cash_Prem = is the cash premium defined by Liu and Shan (2007) as the natural log of the ratio of the value-weighted cash-to-asset ratio for dividend payers versus nonpayers. It proxies for the agency problem. Liu and Shan (2007) provide the data and we expect a positive coefficient.

Time = is a time trend variable included by Lee (2011) to control for the nonstationarity in the dividend premium time series.

C. Variables Included in Robustness Checks

Baa_Spread = is the difference between the S&P 500 dividend yield and the Moody's Seasoned Baa Corporate bond yield. The data comes from the FRED website. Our hypothesis predicts a positive coefficient.

Consumer_Saver = an alternative demographic variable defined by Lee (2011) as the change in the proportion of the population above 65 to those aged between 45 and 65. The data comes from the US Census website, <https://www.census.gov/>.

Sentiment_2 = an alternative measure of investor sentiment calculated by BW as the principal component of five standardized proxies for investor sentiment. BW orthogonalize the variable to macroeconomic variables and higher values imply higher investor sentiment. Jeffrey Wurgler's website contains the data, <http://people.stern.nyu.edu/jwurgler/> We predict a negative coefficient.

Results

Table 1 contains the summary statistics for the variables used in the OLS regressions. The average value of the dividend premium is -5.958, which indicates that the market-to-book ratio of dividend paying stocks is on average less than that of dividend-paying stocks. The large standard deviation and range of this variable shows there is significant annual variation in the dividend premium. Our main independent variables are the Treasury_Spread and the Baa_Spread. These variables show that on average the S&P 500 dividend yield is 3.5 percentage points and 5.8 percentage points below the 10-year Treasury yield and Baa Moody's corporate bond yield, respectively. We only have 39 observations for the Prof_prem and Cash_prem variables because the data come directly from Liu and Shan (2007).

Table 2 has the correlation coefficients between all variables. Those values that are in bold and italics indicate statistical significance at the 5% level. Our two measures of dividend-bond yield spreads correlate positively to the dividend premium, which suggests the dividend premium is higher when dividend yields are relatively high compared to fixed-income yields. This supports our main hypothesis. In unreported results, we also find that the spread between the S&P 500 dividend yield and Aaa-rated corporate bond yields correlates positively with the dividend premium. The dividend premium correlates statistically significantly with the sentiment, signaling, and agency problem proxies. Thus, it is important to control for these and other factors in multivariate regressions. The different signs on the correlations of sentiment (Cefd and Senitment_2) to the dividend premium are not inconsistent as higher values of Cefd imply worse sentiment, while higher values of Sentiment_2 imply better sentiment. Somewhat surprisingly, in our sample the demographic variables (Old_Young and Consumer_Saver) were not significant, although the sign was positive as predicted.

Table 3 contains the results from OLS regressions using a restricted form of the formal model laid out in **Equation 1**. Following Baker and Wurgler (2004) and Lee (2011), we include a time trend variable in all specifications. Model 1 and 2 confirm the results from the correlation analysis and show that the S&P 500 dividend yield minus 10-year Treasury yield (and the Baa corporate bond yield) correlate positively with the dividend premium after considering the time trend. The p-value on the spread variable in both models is less than 1%.

Table 1: Summary Statistics

The Method and Sample section of the article define all variables.

[illegible]

Table 2:

Correlation Matrix

The Method and Sample section of the article define all variables. Correlation coefficients in bold and italics are statistically significant at the 5% level.

| | Dividend_Premium | Treasury_Spread | Baa_Spread | Old_Young | Consumer_Saver | Cefd | Sentiment_2 | Tax | GDP | Prof_Prem | Cash_Prem | N |
|-------------------------|-------------------------|------------------------|--------------------|--------------------|-----------------------|---------------------|---------------------|---------------------|------------|---------------------|------------------|----------|
| Dividend_Premium | 1 | | | | | | | | | | | 50 |
| Treasury_Spread | <i>0.47</i> | 1 | | | | | | | | | | 50 |
| Baa_Spread | <i>0.40</i> | <i>0.85</i> | 1 | | | | | | | | | 50 |
| Old_Young | 0.12 | <i>0.45</i> | <i>0.34</i> | 1 | | | | | | | | 50 |
| Consumer_Saver | 0.15 | -0.04 | -0.10 | <i>0.65</i> | 1 | | | | | | | 50 |
| Cefd | <i>0.43</i> | -0.02 | -0.15 | 0.07 | <i>0.31</i> | 1 | | | | | | 50 |
| Sentiment_2 | <i>-0.70</i> | <i>-0.35</i> | -0.27 | -0.17 | <i>-0.30</i> | <i>-0.71</i> | 1 | | | | | 50 |
| Tax | 0.08 | <i>0.36</i> | <i>0.29</i> | <i>0.36</i> | -0.06 | -0.12 | -0.04 | 1 | | | | 50 |
| GDP | 0.03 | -0.09 | -0.02 | -0.25 | -0.08 | -0.01 | -0.18 | -0.15 | 1 | | | 50 |
| Prof_Prem | <i>-0.38</i> | -0.14 | -0.12 | -0.27 | <i>-0.49</i> | -0.29 | <i>0.51</i> | -0.04 | -0.28 | 1 | | 39 |
| Cash_Prem | <i>0.46</i> | 0.28 | 0.22 | <i>0.32</i> | <i>0.65</i> | <i>0.32</i> | <i>-0.52</i> | <i>-0.54</i> | 0.01 | <i>-0.51</i> | 1 | 39 |

The remaining models include various other factors that may correlate with the dividend premium. For example, Models 3 and 4 show that the relationship between the dividend premium and our spread variables remain statistically significant and similar in magnitude after the inclusion of the demographic variables in Lee (2011). Models 5 and 6 show the robustness of the spread variables after including the statistically significant sentiment proxy (the closed-end fund discount). The remaining models show the statistical significance of our yield-spread in all specifications at the 1% level, which provides preliminary evidence in support of our main hypothesis. Additionally, the R-squares of these reduced models range from 25% to 55%, suggesting changes in these variables account for a substantial portion of the variation in the dividend premium.

Table 4 contains the results of our full model analysis. Model 1 shows that the spread between the S&P 500 dividend yield and the 10-year Treasury yield positively correlates to the dividend premium at the 1% significant level when controlling for the older/younger ratio, the closed-end fund discount, tax differentials, GDP growth, and the time variable. Model 2 extends Model 1 by including the signaling and agency problem proxies, Prof_Prem and Cash_Prem, respectively. We run this model separately because the sample size declines to 39 due to data limitations. The results are very similar to Model 1. The results of Model 1 and 2 support our main hypothesis.

Models 3 and 4 correspond with Models 1 and 2 except that now the main independent variable is the spread between the S&P 500 dividend yield and the Baa-rated corporate bond yield. These results again show that the spread variable relates significantly to the dividend premium, which is consistent with our main hypothesis. In unreported results, we also run these regressions using the Aaa-rated corporate yield and find the results are qualitatively similar.

Models 5 through 8 correspond with Models 1 through 4 except that now we use the alternative measure of demographics in Lee (2011) and an alternative measure for sentiment. The spread variables remain highly significant in these specifications, which shows the robustness of our inferences to alternative measures of some control variables. The different proxy for sentiment is highly significant, but the demographic change proxy is again insignificant.

Our analysis suggests that the yield spread variable subsumes the explanatory power of demographics on the dividend premium. There are several possible explanations for this. First, there is no consideration of the full investment opportunity set facing investors in the demographic theory. For example, if yields on debt securities were relatively high, there is little reason to suspect that yield-seeking, older investors would shift their portfolios to dividend-paying stocks *en masse* just because they are older.

Second, there is little consideration paid to the risk aversion levels of the entire population of investors in the existing demographic theory. For example, younger investors that are relatively risk-averse may have a sizable percentage of their portfolio concentrated in income generating investments. Lease, Lewellen, and Schlarbaum (1976) find that approximately one-third of the portfolios of highly educated young professionals are concentrated in income securities.

Table 3:
Multivariate Regressions (Partial)

The dependent variable in all models is the Dividend Premium. The Method and Sample section of the article define all variables.

| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 |
|------------------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|---------------|
| Treasury Spread | 385.50** * | | 379.72** * | | 376.39** * | | 365.37** * | | 360.05** * | | 385.40** * | |
| Baa Spread | | 329.31** * | | 309.84** * | | 366.23** * | | 308.07** * | | 309.55** * | | 330.56** * |
| Old_Young | | | 164.87 | 716.66 | | | | | | | | |
| Cefd | | | | | .77*** | .93*** | | | | | | |
| Tax | | | | | | | 7.77* | 9.65** | | | | |
| Prof_Prem | | | | | | | | | -.06* | -0.06 | | |
| Cash_Prem | | | | | | | | | .24** | .29** | | |
| GDP | | | | | | | | | | | -5.32 | -0.25 |
| time | -.37** | -.29* | -.37** | -.33* | -.30** | -.23* | -.47*** | -.42** | 1.19* | 1.43* | -.37** | -.30* |
| Intercept | 16.91** | 20.07** | 16.52** | 18.32** | 8.66 | 13.14 | 13.42* | 15.53 | 6.35 | 8.77 | 17.10* | 21.09* |
| R-square | 35.26% | 25.11% | 35.32% | 26.12% | 50.42% | 46.56% | 37.33% | 28.34% | 55.29% | 52.59% | 35.27% | 25.26% |
| N | 50 | 50 | 50 | 50 | 50 | 50 | 50 | 50 | 39 | 39 | 50 | 50 |

***, **, * indicate statistical significance at the 1%, 5%, and 10% levels, respectively.

Table 4
Multivariate Regressions (Full)

The dependent variable in all models is the Dividend Premium. The Method and Sample section of the article define all variables.

| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 |
|------------------------|---------------|---------------|---------------|---------------|---------------|--------------|--------------|--------------|---------------|---------------|---------------|---------------|
| Treasury_Spread | 366.23** * | 353.71** * | | | 205.03** * | 282.16* * | | | 354.38** * | 221.17** * | | |
| Baa_Spread | | | 346.95** * | 331.34** * | | | 176.95* * | 215.73* * | | | 299.38** * | 169.90** * |
| Old_Young | -347.43 | 519.07 | -53.26 | 517.14 | | | | | | | | |
| Consumer_Saver | | | | | -99.57 | 60.36 | -89.37 | -15.82 | | | | |
| Cefd | .80*** | .60* | .93*** | .697** | | | | | .57*** | | .61*** | |
| Sentiment_2 | | | | | -7.46*** | -4.94** | -.81*** | -5.26** | | -6.37*** | | -6.91*** |
| Tax | 8.51* | 21.87** | 97.73** | 24.83*** | 4.72 | 15.84 | 5.12 | 18.99* | | | | |
| Prof_Prem | | 0.01 | | 0.02 | | 0.01 | | 0.02 | | | | |
| Cash_Prem | | 0.17* | | .21* | | 0.13 | | 0.17 | | | | |
| GDP | 1.44 | 0.54 | -11.84 | 19.86 | -68.45 | -60.03 | -82.91 | -46.98 | | | | |
| time | -.40** | 0.52 | -.37** | 0.67 | -.29* | 0.46 | -0.25 | 0.56 | -.02*** | -.02*** | -.01*** | -.01** |
| Intercept | 5.34 | -8.33 | 9.17 | -7.1 | 7.98 | -1.26 | 9.94 | -1.69 | 9.61*** | 7.51*** | 10.69*** | 7.14** |
| R-square | 53.03% | 66.02% | 49.87% | 66.35% | 59.81% | 66.08% | 58.20% | 65.33% | 37.00% | 45.57% | 31.51% | 43.07% |
| N | 50 | 39 | 50 | 39 | 50 | 39 | 50 | 39 | 594 | 594 | 594 | 594 |

***, **, * indicate statistical significance at the 1%, 5%, and 10% levels, respectively.

One limitation of our analysis (and those of prior studies on the dividend premium) is the small sample size in annualized data. Because our annual analysis shows that both the yield-spreads and the sentiment proxies are always highly significant, and because we have monthly data on these variables, in models 9 through 12 we run monthly regressions of the dividend premium on these variables and a monthly time variable. The coefficients on the spread variables remain positive and significant, again supporting our main hypothesis that the dividend premium is positively associated with the spread between dividend yields and bond yields.

Concluding Remarks

Baker and Wurgler's (2004) catering theory of dividends receives a lot of attention in the payout policy literature. Subsequent studies find that time variation in the relative valuation between stocks that pay dividends and stocks that do not, the "dividend premium," influences managerial dividend decisions. Researchers know less about factors that affect the dividend premium. We demonstrate that as the spread between the S&P 500 dividend yield and various bond-yields increases, the dividend premium tends to increase. Investors appear to place higher relative valuations on dividend paying stocks when they cannot find attractive yields in the fixed-income market.

The results are consistent with anecdotal evidence from the low interest environment of 2008-2017 where numerous financial reporters have discussed the relative appeal of dividend-paying stocks based on their yields in comparison to Certificates of Deposit and Treasury bonds. The statistical significance of our yield-spread variables in explaining variation in the dividend premium holds after controlling for other variables that may affect the dividend premium, such as investor sentiment, age variation in the population, agency costs, tax differentials, business cycle fluctuations, and signaling motives. Our results may be useful to managers seeking to understand what factors drive changes in the relative valuations of dividend payers and non-payers as they implement their own payout decisions.

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Discussion Questions

1. What is the catering theory of dividends?
2. Why might investors prefer dividend-paying stocks when fixed-income yields are relatively low?
3. What other factors may make dividend-paying stocks more attractive than non-paying stocks?

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Inside the 23rd Congressional District (FL) Gun Violence Task Force: Real-Time Crisis Policymaking in the Wake of the Marjory Stoneman Douglas School Shootings

Thomas F. Brezenski

Abstract

On February 14, 2018, one of the most horrific school shootings took place at Marjory Stoneman Douglas High School in Parkland, Florida. Seventeen people, 14 of them Stoneman Douglas students, lay dead at the hands of gunman Nicolas Cruz who meticulously hunted his victims down with a semi-automatic rifle. Six years after the tragic school shootings in Sandy Hook in Newtown, Connecticut, the unthinkable had happened again in a U.S. school. After Sandy Hook, there was outrage, and there were task forces formed and cries for greater gun control, but as the days and months passed and the spotlight faded, very little had changed with regard to mental health policy or gun control, although Sandy Hook shooter Adam Lanza utilized a Bushmaster XM15-E2S semi-automatic rifle during the killings of the children at the school (CNN Library, 2017), and the conclusion by investigators was that Lanza had multiple mental health problems and had not received proper treatment. One of the problems was that the victims were very young, and the survivors could not adequately speak up in the aftermath. Parkland would be fundamentally different and demand a new and swift type of response that would manifest itself in a style of political public policymaking that would produce tangible results in just two weeks. This is the story of that process.

Keywords: Marjory Stoneman Douglas, Parkland, school shootings, gun control, gun violence, mental health, firearms public policy, gun violence task force, violence prevention, mass shootings

Introduction

It was being called the Valentine's Day Massacre. Seventeen dead at Marjory Stoneman Douglas High School in Parkland, Florida, from a lone gunman with an AR-15 semi-automatic rifle in a little over six minutes. The AR-15, a close civilian relative of the military M-16, is one of the U.S.'s most common and popular rifles due to its adaptability (allowing for accessories such as scopes and custom sights) and its capacity to discharge 30 rounds in a minute or less, with larger capacity magazines for it readily available that hold up to 100 rounds (Jones, 2013). There is no way to know exactly how many AR-15's are in circulation, but the numbers are estimated to be close to 15 million (Schuppe, 2017). The gunman was taken alive, a rare event in mass shootings, especially when the shooter is suspected to have severe mental health issues. Most, like Adam Lanza, the Sandy Hook shooter, commit suicide after the act or die in a futile shootout with police known as 'suicide by cop.' Also, unlike Sandy Hook, the survivors were angry, articulate, and vocal. They took to multiple social media platforms, especially Twitter, to express their fury, horror, and profound loss. The #NeverAgain movement took root and soon Emma Gonzalez, who so eloquently representing the students' position on a CNN Town Hall meeting eight days after the shooting, quickly had more followers on Twitter than the entire National Rifle Association (NRA). There were relentless calls for bans on all assault weapons, and the AR-15 was held up as the prime example. The Parkland teens repeatedly and boldly attacked the before seemingly invulnerable NRA, even lampooning its national spokeswoman Dana Loesch. The nascent anti-gun sentiment had taken on a life of its own and was becoming a political steamroller. Still, the formidable NRA chief lobbyist in Florida, Marion Hammer, was in Tallahassee, awaiting the Parkland survivors.

On Tuesday, February 20, 2018, students from Marjory Stoneman Douglas High School gathered at the state Capitol to hopefully witness an historic vote by the Florida legislature banning assault-style weapons within the state. The Republican controlled legislature, heavily influenced by Ms. Hammer, voted 71-36 to not consider a ban on assault-style weapons. This outraged the students, their parents, and the general public and set into motion a gun control grass roots movement the likes of which not seen since 1974 (Frattoroli, 2003). At the same time, Florida Governor Rick Scott, a potential aspiring Senatorial candidate, convened his own 'working groups' on the shootings divided neatly into sub-groups to tackle issues of school safety, mental health, and gun violence in schools. This author called the governor's office to offer his service on the committees but was declined, albeit three weeks later. What was unusual about the work groups is that no mental health experts were in the group that was working with firearms; they were all clustered in the 'safe school' working group. There was also a complete absence of any public policy experts on mental health and firearms policy on the 'shootings' panel or anywhere else. It seemed abundantly clear that the governor had no desire for anyone from the 'ivory tower' to come up with something that might anger Ms. Hammer, a very important potential ally in his political future.

When the Parkland tragedy first occurred, I was working on research dealing with gun violence and the mentally ill. I had data and findings that were germane to any policy making discussions that might be going on in Tallahassee and Washington. My thoughts immediately turned to the behavior of some doctors in the 1980's during the AIDS epidemic. Rather than share their potentially life-extending or life-saving findings, they held onto them and waited for peer review and publication. Chronicled by Randy Shilts in his seminal work on AIDS in the

U.S., *And The Band Played On* (1988), the physicians were more concerned with promotions and professional accolades than with the AIDS patients. So people died. Being at a Catholic university and not wishing to see another school shooting, I quickly contacted the offices of Senator Bill Nelson and three of South Florida's House members and two members of the Florida state legislature. Thoughts and prayers were not enough. I spent hours on the phone and even more writing memos to legislative staff both in Florida and in Washington. After a week or so of frenetic activity, I thought I had done all I could do. Then came a phone call from the District Deputy Director of Representative Debbie Wasserman-Schultz who has represented the 23rd Congressional District in Florida since 2013. I was called down to her Sunrise, Florida, office for a face to face meeting to discuss my research with the Deputy Director and a top aide. We spent a good 90 minutes discussing the details surrounding Parkland, gun violence politics in general as well as my research in mental health and firearms public policy. After imparting all the information I could, I now was certain I had done all I could to help the survivors of Parkland and their crusade to make schools across the country safer. That was until I opened my e-mail days later and found an appointment to the 23rd Congressional District Gun Violence Task Force, which the Congresswoman herself chaired, with the first meeting scheduled for March 5, 2018. It was both exciting and intimidating news.

The Gun Control Debate: A Primer

I had a fairly good idea of the pressure cooker I was being thrown into and what I'd be there to do. I was the gaping hole that was missing from the governor's panels and was expected to provide ideas, and assess and vet the policy proposals the Congresswoman came up with, if asked. The goals of the task force were simple and straightforward: Stop the gun violence from semi-automatic rifles (or assault-style weapons in our common terminology) in the U.S. and make our schools safe again. Gun control is a volatile hot button issue, almost as controversial as reproductive rights. It is no secret that gun violence is epidemic here in the United States, and the rest of the world views us like a 21st century Dodge City. Reasonable measures such as background checks and expansion of the categories of those ineligible to purchase or carry could certainly help stem the tide of bloodshed (Vittes, Vernick, & Webster, 2012). This type of logic echoes repeatedly throughout the pro-gun control literature (Vizzard, 2014). Existing policy studies (Webster & Wintemute, 2015; Crifasi, Buggs, Choksy, & Webster, 2017) only reinforced my belief that I was on the 'right' side of things and that cogent, effective policy change in gun laws was possible. Even pawn shops and licensed gun show sales operators were rich sources of information and willing to help 'clean up' the gun sales industry (Wintemute, 2017).

I also knew there existed arguments in the opposite direction that expressed themselves in current public policy, particularly state gun law preemptions (Phillips, 2017). State preemptions prevented any municipality from enacting any sort of firearms regulation that was repugnant to the state with the local official being subject to fines or removal from office. This sat just fine with those who firmly held the belief that anyone who had the audacity to enact a local assault weapons ban deserved the penalties. In their estimation those firearms contributed little (Lindgren, 2014) or no impact on overall gun deaths (LaRochelle, 2013). Of course, there were those who thought that any restriction whatsoever was an unholy violation of civil liberties and the almighty Second Amendment (Moorhouse & Wanner, 2006; Cook, 2013). At the ziggurat of this anti-firearm reform structure stood the NRA, with hundreds of millions of dollars at its

disposal from gun manufacturers and perhaps the most intimidating lobbyist in the United States perched in Tallahassee, Marion Hammer, who, if you were a Florida Republican, would drop on you like her surname if you failed to toe the NRA line, which of course included no bans of any kind on any firearm, least of all the very popular AR-15. Ms. Hammer holds the Florida state legislature in a grip so tight that Republican legislators have to buy shirts with collars two sizes up to avoid strangulation. You can't really blame them, even for shutting down the assault weapons ban in front of the Stoneman Douglas students considering that would have garnered a blizzard of angry e-mails from God-fearing gun-toting constituents accusing them of trampling the Second Amendment, by order of Ms. Hammer herself. Extreme violations invite the ultimate sanction of being 'primaried.' Ms. Hammer will hand-select a pro-gun candidate so far to the ideological right you would have to be the second coming of Barry Goldwater to best them, and then she would stuff their campaign war chest to overflowing with NRA booty. Defeat is a foregone conclusion. If anything was going to get done, it would have to be at the federal level, which then would supercede state law, which Marion Hammer could do nothing about.

#NeverAgain: The Gun Violence Task Force

The first meeting of the 2018 23rd District (FL) Congressional Gun Violence Task Force was chaired by Congresswoman Debbie Wasserman-Schultz herself. I found her brilliant, congenial, and tough as a two-dollar steak. A native New Yorker, she doesn't beat around the bush, she burns it to the ground, and walks through the ashes. Being from New Jersey, this bode well for me as this was someone I could work with. I brought my first memo with some policy suggestions and talking points and supplied a copy to every spot in the conference room. I made it a point to get there early so I could get my memo out so the task force members could read it with their pre-meeting coffee. By the name plates on the table, I was clearly one of the lesser lights. This was a blue ribbon panel if there ever was one. There was a Stoneman Douglas survivor, a survivor shot by an AK-47 in Miami, law enforcement, practically every school board member from every corner of the county, faith leaders of the community, representatives from the League of Women Voters, several well-known gun control advocacy groups, career teachers, the head of the teachers' union and mayors of practically every town within 30 minutes of Parkland – plus two members of the NRA for some spice. And me. I was, by far, not the sharpest knife in this drawer that could have come out of Mario Batali's kitchen. By my very nature, I generally dislike meetings because they tend to turn into gigantic whine fests that bore me to tears. I had nothing to fear with the Representative running the show. Everything was about #NeverAgain and how we get there. Quickly. She instinctively knew that the Parkland kids' growing momentum could be ours to harness if we made the right moves. Virtually everyone had something important to contribute. Instead of being lulled to sleep, I was energized.

When we went for the press conference afterward, the Representative wanted everyone close around her as she spoke to the media. It was if everyone up there on the podium was there to personally close ranks and put the NRA on notice that we were on their case, there to stay, and their sacred policy cows were about to be fattened up for the slaughterhouse. Something must have resonated because the next day, the Florida state legislature raised the minimum age for purchasing firearms, banned bump stocks that turn a semi-automatic rifle into an automatic, put a waiting period in place for most firearm purchases, and appropriated millions for mental healthcare at the community level. The only NRA-like thing in the bill was a provision to arm

school personnel in the controversial ‘Guardian Program.’ Still, it was not nearly enough for Representative Wasserman-Schultz nor the rest of the task force. We would be meeting again in two weeks on March 19th. Then the rubber would truly hit the road.

And Then There Were Three

If the first meeting was blue ribbon, this one had sparklers and was festooned with a live parrot. In addition to the heavyweights from the first meeting, we had in attendance additional mayors, a representative from the State Attorney’s office, gun rights activist Fred Guttenberg who tragically lost his daughter Jaime in the Parkland shooting, and the mother of Trayvon Martin who lost his life senselessly in the infamous ‘stand your ground vigilante’ incident years ago. This meeting was going to be much different than the first, especially with the electric Fred Guttenberg in the room. Eloquent and excitable, he quickly became the symbol of how to turn grief into social change.

Days prior to the meeting, a senior staffer had provided us with an article with ‘gun control policy experts’ favored policies as well as those that the public favored. It was non-scientific, strictly off of the ‘what do we think, what do we know, and what can we prove’ track of policy vetting. So I set about setting up hypotheses for as many of the policies for the variables as I could mine data for and set up multivariate regression models, with firearm death rates as the dependent variable and the different policies as independent variables. Many hours later, I boiled them down to my best hypotheses and tested them. I put together the tables, wrote up a policy memorandum, and e-mailed it to the senior staffer. On the morning of the 19th when I arrived for the meeting, I found my memo photocopied and ready for distribution. I was stunned. The press conference afterward was even more of a surprise. Marion Hammer and the rest of the NRA leadership was about to meet the anvil. Amidst a cluster of microphones and TV cameras and with me flanking her left, the Representative forcefully announced support for three specific policies: a ban on LCMs (large capacity magazines), an assault-style weapons ban, and universal background checks at all gun shows and Internet sales, closing a massive loophole. A bill currently in committee, H.R. 5087 – Assault Weapons Ban of 2018 introduced in late February by Representative David Cicilline of Rhode Island covers the first two recommendations of the task force, that being the LCM and assault-style weapons ban but does not address the universal background check issue. The Task Force came up with identical conclusions as the policy experts behind H.R. 5087 and added an improvement, to boot.

The Task Force minutes and agendas should be the playbook on how to run a real-time crisis policymaking team. No knee-jerk, 24-hour, thrown-together, untested policy to soothe the public angst. No stacking the deck with politically-friendly faces to guarantee politically-friendly, but unreliable, untested results. In fact, I myself took assiduous notes on everything the senior NRA representative said and used that knowledge to step back and fine-tune my own research process. In truth, not every hypothesis turned out, and some consistently failed. Mistakes were made and rectified. Still, the simple fact remains that sound policy was engineered and existing policy analyzed by a heterogeneous group process driven by a person with a razor-sharp focus and a crackerjack staff within a strictly specified time-table. That is the way it needed to be done. The 17 who never made it to safety at Stoneman Douglas deserved nothing less than our best, and we delivered.

The Research Supporting the Policies: The Models

Representative Wasserman-Schultz mentioned three key policy proposals: a ban on LCMs (large capacity magazines), a ban on assault-style weapons like the AR-15, and the implementation of universal background checks at alternative gun sale venues by unlicensed sellers such as at gun shows, which would close the infamous ‘gun show loophole.’ Three multivariate regression models tested the viability of each proposal prior to the meeting on March 19th and the subsequent announcement. The models presented below are slight variants of those models, the only change being the data source, hypothesis and standardization of the NICS State Rate of Reporting variable as a per capita measure. There is infinitesimal or no deviation in the policy variables’ performance resulting from this change, thus the conclusions reached with reference to the policies Representative Wasserman-Schultz and the task force discussed on March 19th are identical.

Each model is based on gun deaths per state in the year 2014, chosen for the reason that that was the most recent year complete data could be found for *all* variables with no missing values. The dependent variable for each model was gun death rate per state for that year, with the data coming from the Centers for Disease Control National Center for Health Statistics and obtainable at https://www.cdc.gov/nchs/pressroom/sosmap/firearm_mortality/firearm.htm

Each model here also contains three ‘control’ explanatory variables, meaning they appear in each of the three models: Mental Health Care Access Level, NICS State Report Rate Per Capita, and NICS State Mental Health Report Speed. The variables representing each of the policies the Congresswoman mentioned account for and appear in one model each, accounting for three models in total. Results for all three models are in the Appendix (below).

The Explanatory Variables

The Control Variables

Mental Health Care Access Level. This is an interactive variable between the total percentage of state’s population with a mental illness in 2014 and the accessibility to mental health care. Although it is common knowledge that people suffering from mental illnesses are responsible for less than 1 to 5% of violent crime committed with firearms, it is impossible to ignore the role that mental illness has played in mass public shootings such as Sandy Hook and now Parkland. Early detection, intervention, and treatment are key in avoiding potential tragedies involving those that are a danger to themselves and others. The hypothesis here is that the relationship between this variable and the dependent variable will be negative. Data for this variable is available at https://www.cdc.gov/nchs/pressroom/sosmap/firearm_mortality/firearm.htm and <http://www.mentalhealthamerica.net/issues/2017-state-mental-health-america-ranking-states>.

NICS State Rate of Reporting Per Capita. NICS, the National Instant Criminal Background Check system, is the most common method to weed out ineligible buyers due to everything from mental health issues to criminal history. The sheer volume of NICS checks is possibly the best and most accurate indicator of how much gun purchasing is going on in the United States. The sheer volume itself is staggering when one looks at some of the larger states

such as California and Florida with well over a million checks. More alarming for gun safety advocates is the number of background checks in smaller states with a deeply ingrained 'gun culture' that are usually rural or close to or south of the Mason-Dixon Line. Kentucky, for example, totaled nearly 2.5 million checks, almost the total of Florida and California combined. Therefore, this variable will have a positive relationship with gun death rates. Obviously, a certain albeit small percentage purchased are semi-automatic rifles, such as the AR-15. The vast majority are handguns that are involved in most gun violence. Nevertheless, despite all the arguments that say more guns mean more protection and deter violent crimes (and thus gun homicides), the conclusion here is that the presence of more firearms increases the likelihood that they will fall into the 'wrong hands' and positively influence the overall death rate by firearms. Data for this variable is available at https://fbi.gov/file_repository/nics_firearm_checks_-_month_year_by_state.pdf and <http://newgeography.com/content/004818-state-population-rise-south-and-west-continues>.

Speed of State Mental Health Reports to NICS. This variable is a scale variable measuring how fast state agencies report mental health ineligibility data to NICS. The logic for inclusion of this variable is the same as the one regarding mental health care access. Disqualification in most states for mental health reasons is based on adjudication of mental incompetence or record of commitment to a psychiatric hospital. There is no federal standard specifying a timeframe for reporting disqualifying information based on mental health status. Reporting policies at the state level run from in 'a timely manner,' which could be anywhere from weeks to months, to 'immediately.' This variable runs on a 1 to 10 scale, with the fastest states receiving a score of 10 and the slowest a score of 1. The hypothesis here is that the faster the data report, the less likely a person a danger to him- or herself or others will be able to purchase a firearm. Therefore, there will be a negative relationship between this variable and firearm death rates. The data for this variable is available at <http://lawcenter.giffords.org/gun-laws/policy-areas/background-checks/mental-health-reporting/#state>.

The Policy Variables

Large Capacity Magazine (LCM) Ban. When one thinks of an 'assault weapon,' one thinks of a firearm that showers its target with multiple projectiles at volume. What allows any weapon to do this is the amount of ammunition that feeds into the chamber and how quickly it gets there. Large capacity magazines (LCMs), detachable magazines, or 'clips' designed to hold 10 rounds of ammunition or more are the central feature of what makes a firearm in many peoples' eyes an 'assault weapon.' Banning LCMs and limiting future manufactured magazines to a maximum of 10 rounds per clip for civilian use is key to lowering the firearm death rate. The gun violence literature supports this contention. Koper and Roth (2002) point out that LCM bans affect more guns than just a ban on assault weapons while Lemieux (2014) arrives at a similar conclusion, stating that limiting the magazine capacity is more helpful than a ban on a specific type of weapon. Therefore, there will be a strong negative relationship between the LCM Ban variable and the dependent variable. This variable is a dummy variable, with a value of one if the state has an LCM ban in place and zero otherwise. Data for this variable is available at <http://lawcenter.giffords.org/gun-laws/policy-areas/hardware-ammunition/large-capacity-magazines/#state>.

Assault Weapons Ban/Regulations. The common reaction to a mass shooting with anything but a handgun or hunting rifle is to call for an assault-style weapons ban or severe restrictions on their sale, or possession, or both. The reaction after the Parkland mass shooting among the general public was no different nor unexpected as the weapon involved was an AR-15. A myriad of definitions exists for assault-style weapons with terminology such as ‘for military use’ or ‘designed to penetrate and exit,’ but all of these weapons share a common denominator in that they are rifles, are semi-automatic, and have large capacity magazines. Multiple states, especially in the wake of the Sandy Hook mass shooting, have put bans or strict marketplace control on these types of weapons, and the feeling here is that they have had a significant impact on lowering the death rate by firearm. Studies have shown that the stricter the law, the better it will be due to the knowledge base that criminal offenders have amassed about gun laws in general and how to skirt them. Barragan, Chesnut, Gravel, Pifer, Reiter, Sherman, and Tita (2017) found that inmates in the Los Angeles County Jail system had a consistent comprehension involving gun acquisition and thus were no fools when it came time to procure a firearm. Laws making it more difficult for repeat offenders to obtain these types of weapons is a common sense solution. Kristof (2002) puts forth a more succinct and direct argument: Although they make up a very small percentage of the overall amount of guns in U.S. society, they do a disproportionate amount of damage. This variable, like the LCM ban, will have a strong negative relationship with firearm death rates and is a dummy variable with a value of one if the state has an assault-style weapons ban or strict regulations in place and zero otherwise. Data for the variable is available at <http://lawcenter.giffords.org/gun-laws/policy-areas/hardware-ammunition/assault-weapons/#state>.

Universal Gun Show Background Checks. Currently, in many states, one can walk into a gun show as completely ineligible to purchase a firearm for whatever reason and walk out with a freshly purchased weapon. That is possible because there exists a gaping ‘loophole’ in the NICS background checks system with regard to gun shows. Federal law requires all federally licensed sellers to run background checks on all potential buyers. However, gun shows are replete with private sellers, hawking their wares out of private collections who do not conduct background checks and sell on a cash and carry basis. Thus, a convicted felon with a record of domestic violence, a person adjudged mentally incompetent, and even someone on the terrorist watch list can stride into a gun show in a multitude of states with a fistful of cash and purchase a firearm. Allowing this is a dangerous practice on its face yet pro-gun organizations such as the NRA have managed to keep universal background checks, which would require *all* sellers to conduct background checks on potential buyers whether federally licensed or not at bay due to their powerful hold on many state legislatures. For the person with a mental illness who is a danger to him- or herself and others and has a plan of either suicide or something worse, these shows can be a virtual magnet, offering complete anonymity and utter ease in obtaining the means of destruction to themselves or, in the worst case, others as well. The evidence for closing this loophole comes from both sides of the ideological aisle. Conservative activist and writer Ann Coulter boldly asserts that the guns are not the main problem, but the fact that severely compromised mentally ill individuals have them (2013). Metzl and MacLeish (2015) echo that sentiment in that they find that politically, the conversation involving mass shootings and gun control measures has boiled down to mental health issues.

That criminals get their hands on firearms at gun shows is nearly a given. Vittes, Vernick, and Webster (2013) come to the obvious conclusion that offenders often get their guns from other than licensed dealers, and it is wrongheaded to think that every single illegal transaction occurs in dark back alley out of the trunk of a car as many in the NRA leadership would have the public believe. Many of these transactions take place in the brightly lit arenas of gun shows where rodeos and monster truck jams took place the night before, due to the proliferation of unlicensed vendors who certainly don't ask or tell (Wintemute, 2007).

Both the criminal element and the seriously mentally unstable will have access cut off at gun shows, both of which contribute to the gun death rate albeit at far different rates and ways by closing this loophole. Thus, the universal gun show background check variable will have a negative relationship with the dependent variable. This variable is a dummy variable, with a value of one if the state has a universal gun show background check policy and zero if otherwise. Data is available from <http://lawcenter.giffords.org/gun-laws/policy-areas/gun-sales/gun-shows/#state>.

Discussion

The model results underscore the viability of the measures the Task Force fleshed out (see Appendix). All three policy variables were significant at, near, or below the $p < .001$ level with Beta Weights being the heaviest and most influential in each model indicating a nearly indisputable relationship with a reduction in firearm death rates. That is, by far, the most important 'takeaway' from this research. The crisis policymaking process of the task force yielded solid, quantifiably reliable results in a tight window of time in highly politically charged and emotional environment. The results are a boon to anyone who has to defend any of the proposed policies in the committee or subcommittee process, this author included.

Conclusion and Suggestions for Future Research

Since any meaningful research at the government level is minimal, which Collins, Parker, Scott, and Wellford (2017) remind us all of, there was thought to be some light at the end of the tunnel with passage of the federal Omnibus Bill on March 23, 2018. This supposedly opened the door for the Centers for Disease Control (CDC) to resume firearms violence studies (Freedman, 2018), but in reality, it is little more than political smoke and mirrors as it provides no dedicated funding. The fact that the Mental Health Access Care Level variable came up significant at $p < .005$ in each model is a compass needle as to where future policy research should go: principally, how to strategically intervene, treat, and isolate if necessary those that are an extreme danger to themselves and others. There also needs to be some connection between community mental health centers (CMHCs) and schools established. In economically depressed or rural areas, there also need to be CMHCs established so people with potential psychiatric issues do not have to travel hours to get to a place where they can get treatment, medication, and therapy. This is no small order. The community mental healthcare network in this nation has been in a shambles since deinstitutionalization and is a problem that needs billions, not millions, of dollars. If we can fund a gigantic wall to ostensibly stem the tide of illegal immigration then we can spend ten times that amount to ensure our children worry only about geometry and

dangling particples, as opposed to being living, breathing paper targets for an undiagnosed, untreated, or decompensated mentally ill individual with evil intentions armed to the teeth.

The Speed of State Mental Health Reports to NICS came up significant in only one model but was in the correct hypothesized direction and was never drastically far away in terms of significance level, which signals that maybe there needs to be a uniform national procedure with regard to reporting timeframes. My personal suggestion would be a national standard of 'immediately.' That the NICS State Rate of Reporting Per Capita variable came up positive and significant in two of the three models forces us to consider a difficult question: Are there just too many guns out there for our own good, and are we just making it easier on those who should not have firearms to get them, just from sheer proliferation?

We should not be a nation where children are afraid to go to school, but that is exactly where we are, as many children and families across the country have felt that no child is immune to gun violence for some time now according to Reich, Curloss, and Behrman (2002), and that feeling is now amplified after the horrific events at Stoneman Douglas. The negative effects on children from gun violence go far behind those who sadly, are the victims. Even exposure leads to damage on a psychological level, leaving behind withdrawal, anger, and even post-traumatic stress syndrome (PTSD) (Garabino, Bradshaw, & Vorrasi, 2002). These costs are often invisible to the general public; they do not show up on balance sheets (Cook & Ludwig, 2002) and do not result in socially unpopular practices such as raising taxes, and thus, we tend to overlook them. Greater regulation of firearms overall is not in dispute with regard to safeguarding the wellbeing of the America's children. Wintemute (2002) cites the need for more regulation of both licensed and unlicensed firearms dealers; the almost complete absence of any oversight of unlicensed dealers means more guns getting into the hands of young people. Some may argue that too much oversight is an outrageous infringement on the Second Amendment and an affront to all the law-abiding firearms owners in the United States of which there is a majority. That being said, in gun advocacy organizations such as the NRA, there has developed a great disconnect between the extremist ideology of the leadership elite exemplified by board member Ted Nugent, who openly advocates actually shooting gun control proponents, and the more traditional conservative rank-and-file-membership. There exists currently a yawning chasm of difference in thinking about gun regulation between the NRA leadership and your neighbor that hunts or skeet shoots.

In conclusion, there is no waving of a magic wand and solving the problem of gun violence in the U.S. The work of the 23rd District (FL) Congressional Task Force was a major step in the right direction, but it is just a step on a very long journey that has been a long time coming to take. Some may feel and have freedom of opinion to disagree a journey on this particular path is a bad idea and wrap themselves so completely in the Second Amendment that they are blind to what has been taking place in our inner cities and low income areas for decades and has arrived in full tragic force at Newtown, Orlando, Las Vegas, and now Parkland. For those individuals, I can give you 17 good reasons to unwrap yourselves and uncover your eyes once and for all:

Jaime Guttenberg
Nicholas Dworet
Alyssa Alhadeff
Meadow Pollack
Luke Hoyer
Carmen Schentrup

Gina Montalto
Alex Schachter
Peter Wang
Alaina Petty
Martin Duque
Anguiano

Helena Ramsey
Joaquin Oliver
Cara Loughran
Aaron Feis
Scott Beigel
Christopher Hixon

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Appendix

Model 1: Large Capacity Magazine (LCM) Model Results

Dependent Variable: Gun Death Rate by State (2014)

| Multivariate Regression Results – LCM Model | | | | |
|--|--------|-------------|---------|------|
| | B | Beta Weight | T-Value | Sig. |
| (Constant) | 15.457 | | 13.172 | .000 |
| Large Capacity Magazine Ban | -4.875 | -.412** | -2.359 | .002 |
| Mental Health Care Access Level | -.006 | -.379** | -3.183 | .003 |
| NICS State Rate Of Reporting Per Capita | 3.845 | .090 | .786 | .436 |
| Speed Of State Mental Health Reports To NICS | -2.44 | -.199* | -1.781 | .082 |
| R - Square = .453 | | | | |
| Durbin Watson Test = 1.976 | | | | |
| p<.01* | | | | |
| p<.005** | | | | |

Model 2: Assault Weapons Ban/Regulations Model Results

Dependent Variable: Gun Death Rate by State (2014)

| Multivariate Regression Results – Assault Weapons Ban/Regulations Model | | | | |
|--|--------|-------------|---------|------|
| | B | Beta Weight | T-Value | Sig. |
| (Constant) | 14.705 | | 13.715 | .000 |
| Assault Weapons Ban/Regulations | -5.719 | -.483*** | -4.313 | .000 |
| Mental Health Care Access Level | -.005 | -.346** | -3.081 | .004 |
| NICS State Rate Of Reporting Per Capita | 8.179 | .190* | 1.828 | .074 |
| Speed Of State Mental Health Reports To NICS | -.171 | -.139 | -1.333 | .189 |
| R - Square = .516 | | | | |
| Durbin Watson Test = 1.891 | | | | |
| p<.01* | | | | |
| p<.005** | | | | |
| p<.001*** | | | | |

Model 3: Universal Gun Show Background Checks Model

Dependent Variable: Gun Death Rate by State (2014)

| Multivariate Regression Results – Universal Gun Show Background Checks Model | | | | |
|---|--------|-------------|---------|------|
| | B | Beta Weight | T-Value | Sig. |
| (Constant) | 15.316 | | 13.895 | .000 |
| Universal Gun Show Background Checks | -4.303 | -.419** | -3.725 | .001 |
| Mental Health Care Access Level | -.007 | -.409** | -3.635 | .001 |
| NICS State Rate Of Reporting Per Capita | 8.318 | .194* | 1.788 | .080 |
| Speed Of State Mental Health Reports To NICS | -.197 | -.160 | -1.474 | .147 |
| R - Square = .477 | | | | |
| Durbin Watson Test = 1.927 | | | | |
| p<.01* | | | | |
| p<.005** | | | | |

About the Author

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Discussion Questions

1. Many people have suggested that instead of banning things like LCMs and assault-style rifles, there should be a focus on ‘enforcing the laws already on the books.’ Is this a practical approach to solving the problem of gun violence in the U.S.? Moreover, is the average U.S. citizen even familiar with the firearms laws that are ‘on the books?’ Explain.
2. After Sandy Hook, task forces were formed and many vowed that nothing like that school shooting would ever happen again. Now it *has* happened again with the Marjory Stoneman Douglas shootings. What changes this time have, can, and should be made to ensure that a repeat of the post-Sandy Hook failings does not occur? In addition, what makes the Parkland shootings significantly different from Sandy Hook in terms of future policy change?
3. Some have argued that the National Rifle Association (NRA) is way too powerful at the state level and virtually controls some state legislatures and that the only way to make meaningful change in firearm safety laws is at the federal level. Do you agree with this statement, or is it possible to make positive policy change at the state level at the present time? Why or why not?

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“The Owl Stare”

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Price and Store Image as Mitigating Factors in the Perception and Evaluation of Retailers' Customer-Based Brand Equity

Hagai Gringarten

Abstract

Retailers serve as critical differentiators for brands and can be an important part of a firm's competitive advantage. Since consumers often base their buying decisions on impressions of price and store image (Grewal, Krishnan, Baker, & Borin, 1998), this research was designed to determine if there are any significant differences in customer-based brand equity for each retailer, based on customer perceptions of price and store image.

This research was a quantitative, non-experimental, exploratory-comparative study using a survey research. A survey was conducted at a regional Southeastern U.S. university with a student body of approximately 3,500. The target population was students who are ardent customers of retail coffee shops. A total of 621 students completed the survey, but only 539 questionnaires were used for data analysis, 250 questionnaires containing McDonald's McCafe survey data and 289 questionnaires containing Starbucks survey data. Descriptive and inferential statistics including t-tests and three-way ANOVA were used to analyze the data and answer the research questions and hypotheses. Overall, Starbucks, the brand, displayed higher brand equity than McDonald's, the brand, in contrast to Interbrand's ranking of global brands in which McDonald's is ranked 12 and Starbucks is ranked 60 among the top global brands (2018).

The results of this study imply that store image can add to brand equity, thus creating a sustainable competitive advantage for products and firms, while allowing them to charge premiums. Price usually is positively related to perception of quality; the study found that price was not significantly related to customer-based-brand equity in every retail operation.

Keywords: Brand equity, retail, price, store image, branding, coffee, perception

Introduction

Russel L. Hanlin, CEO of Sunkist Growers, summed it up perfectly when he stated that "An orange...is an orange...is an orange. Unless, of course, that orange happens to be a Sunkist, a name eighty percent of consumers know and trust" (as cited in Aaker, 1996, p. 1).

In a world that is evolving at lightning speed toward a greater interaction among consumers, industries, and business entities, technology and infrastructure enable them to be more efficient, productive, and effective than ever before (Friedman, 2005). As a result, marketers face tough challenges to better satisfy needs and wants of various entities and people than their competition. Consumers today are overloaded with information, and rely on brands to minimize the decision making process and to simplify their lives (Holt, 2003). In essence, the marketing discipline is evaluated, formed, and defined relentlessly, and branding is more important than ever (Leone, Rao, Keller, & Luo, 2006). In fact, brands are so important that when British and American teens were asked recently for their preference for a T-shirt with or without a logo on it, 98% preferred a brand over plain style (Lindstrom & Seybold, 2003).

Success usually is achieved through differentiation, positioning, and successful branding strategies. *Positioning* is defined by Kotler and Armstrong (2016) as “arranging for a product to occupy a clear, distinctive, and desirable place relative to competing products in the minds of target consumers” (p. 51). According to Ries and Trout (1986), it all started in 1972 with their series of articles published in *Advertising Age* titled “the positioning era,” asserting that positioning “is not what you do to a product. Positioning is what you do to the mind of the prospect. That is, you position the product in the mind of the prospect” (p. 2). Avis is a classic example of successful positioning. Prior to launching its “We try harder” campaign in 1962, Avis had been a money-losing operation during the previous 13 years. By relating itself to industry leader Hertz while proclaiming it tries harder because it was “number two” in the car rental business, Avis was able to make a profit and triple its market share (Grabiner Hall, 2009; Ries & Trout, 1986). Another classic example is Ivory Soap, one of the most successful consumer products in recent history. At a time when all soaps were either yellow or brown in color and irritated the skin, Ivory Soap, introduced in 1879, was white and positioned as “99 and 44/100% pure,” mild, and “the soap that floats.” The fact that it floated, helped people find it in the bath water. The Ivory Soap positioning was reinforced by its name and wrapper that associated with purity and mildness. Great positioning helped Ivory products generate estimated sales of more than 25 billion dollars in more than 110 years (Aaker, 1991; Graydon, 2008).

Positioning plays an important role in achieving sustainable competitive advantage. Today’s highly competitive retail environment makes it very challenging to develop viable and successful brands. Master brands enjoy the combination of brand equity, retail muscle, financial strength, and a loyal customer base that makes it harder for brands to compete, survive, grow, and sustain their competitive advantage. It is also increasingly hard to create and maintain points of differentiation, which are among the main drivers of brand strength (Aaker, 2003).

Most companies sell their products and services in *retail markets*, which are defined as “a group of customers who are attracted to the same retail mix because they have similar needs” (Levy, Weitz & Grewal, 2014, p. 107). *Retailers* are the link between manufacturers, marketers, and consumers. A *retailer* is “a business that sells products and/or services to consumers for their personal or family use” (Levy, Weitz & Grewal, 2014, p. 7). *Retailing*, which is defined very similarly to a *retailer*, “is the set of business activities that adds value to products and services sold to consumers for their personal or family use” (Levy, Weitz & Grewal, 2014, p. 7).

Because retailers are the link between manufactures, marketers, and consumers, they are critical to consumer brands’ success (Kotler & Armstrong, 2012; Levy & Weitz, 2011; Wang, 2008). Research assessing the impact of elements such as price and store image on consumers and brand equity will benefit scholars and practitioners alike. Price is considered one of the most

powerful and effective tools in retail strategy (Gauri, Trivedi, & Grewal, 2008), while image is an important differentiation tool (Kotler & Armstrong, 2010). Since the 1990s, brand equity was extensively researched “primarily from a consumer perspective, but rarely from the point of view of a retailer” (Baldauf, Cravens, Diamantopoulos, & Zeugner-Roth, 2009, p. 347). Retailers have the ability to influence consumers’ evaluations and selection of brands significantly, and thus, play a vital role in the success or failures of brands in the market place (Baldauf et al., 2009; Levy, Weitz & Grewal, 2014, 2009). According to Kotler & Armstrong (2012), about 40% of consumer decisions are made in the store.

Baldauf et al. (2009), in their empirical analysis, asserted that price level was correlated negatively to Retailer Perceived Brand Equity (RPBE) as they reduce the value proposition. This was in contrast to the Yoo et al. (2000) study showing that high price is correlated positively to brand equity.

The literature does not provide adequate coverage of the effects of price and store image on retailer’s brand equity. An understanding of these aspects will result in more efficient and effective ways of creating, building, and sustaining brand equity, and marketers will be able to identify, better define, and influence target market for improved business competitive advantages.

Because the specialty coffee industry is a significant and growing part of retailing in the U.S., this research focused on Starbucks and McDonald’s, which are the two leading coffee retailers in the world.

Branding and Brand Equity

Brands serve many valuable functions for firms and consumers alike. Brands serve firms as markers for the offerings, increase marketing efficiencies and competitive advantage. For consumers this helps simplify the decision-making process, reduce risk, and serve as a promise for certain quality and delivery (Keller & Lehmann, 2006). According to Keller (2013), the word brand “is derived from the Old Norse word *brandr* which means” to burn,” as brands were, and still are, the means by which owners of livestock mark their animals to identify them” (p. 2).

Branding came a long way since the infamous “Marlboro Friday,” where on April 2, 1993 Philip Morris announced 20% price reduction with their leading brand of cigarettes to compete more effectively with generic cigarette makers who were gaining market share (Aaker, 1997; Parry & Sato, 2008). The announcement was followed by a drastic fall in their share price of more than 22%, and frenzy among the business media announcing the death of branding. In the process, Philip Morris stock lost \$14 billion of its value (Quelch & Harding, 1996). According to the media, if Marlboro, a master brand, had to compete on price, the concept of branding did not matter anymore (Bedbury & Fenichell, 2002; Parry & Sato, 2008). In the bargain-conscious market of the 1990s, price seemed much more important than branding.

The defining moment for branding arrived in 1988 when “Philip Morris purchased Kraft for 12.6 billion dollars; six times what the company was worth on paper. The price difference, apparently, was the cost of the word -Kraft” (Klein, 2001, p. 7-8). This sparked an increase in ad spending and created awareness of the importance of brand equity to success in business. In 2005, Procter & Gamble, the largest consumer products company in the U.S., acquired Gillette, a leading consumer product company known for its signature razors, Duracell batteries, Braun and Oral-B dental care products (www.marketwatch.com). Gillette was sold for 57 billion dollars—

about 20 times its annual sales. At the time, it was the largest acquisition in the history of Procter & Gamble. Many believe the high purchase price was due to the value of the word -Gillette. Hence, the price differential represented the equity of the Gillette brand. This is the gist of brand equity. Brand equity represent what brands mean to consumers and is created in part based on consumers' perception and expectations of the brand. It is also the added sales and market share a particular brand will bring due to its equity. Hence, Procter & Gamble agreed to pay that much more for Gillette because of the future value of the brand's added sales.

Most experts agree that there is still no common viewpoint about how to conceptualize and measure brand equity, since the term emerged in the 1980s. (Aaker, 1991, 1996; Keller, 2013, 2003; Raggio 2006; Myers, 2003; Wood, 2000). In part, it is probably because brand equity is an intangible asset (Kotler, 2000). The most important company assets such as brand equity or people are intangibles. They do not depreciate, or appear on balance sheets, but they can provide value or lose their value to the company or consumers.

To realize how intangible and important brand equity is to corporations, Interbrand calculated that 96% of the market capitalization value of Coca Cola is intangible, as well as 97% for Kellogg and 84% for American Express (as cited in Jimena, 2006, p. 11). Jones (2005) pointed out that in a survey of top 3,500 companies in the U.S.A, "intangible assets accounted for 72 per cent of market value compared with only 5 per cent in 1978" (p. 13).

Aaker (1996) asserted that brand equity generates value through those five major categories of brand loyalty, brand awareness, perceived quality, brand associations, and other proprietary assets such as trademarks and patents.

Raggio and Leone (2007) argued that we should distinguish between *brand equity* and *brand value*. They bring the distribution agreement of Lee Jeans with Walmart to validate their point. By increasing distribution via the giant retailer, Lee Jeans should be able to generate more revenues and increase their *brand value*, but "Lee's image of selling its jeans at a store like Walmart may result in decreased brand equity within one or more segments of Lee's consumers" (p. 385).

While Raggio and Leone (2007) might have a valid argument, most experts agree that the essence of brand equity is the value added to the brand and the firm (Aaker, 1991, 1996; Keller, 2013; Kotler & Keller, 2009).

Keller (2013) defined it as "The differential effect that brand knowledge has on consumer response to the marketing of that brand" (p. 41). Ultimately, the power of the brand lies in the minds of consumers and in what they experienced and learned about the brand (Keller, 2000; Lury, 2006).

Purpose of the Study

The purpose of this study was to examine the impact price and store image might have had on perceptions and evaluation of brands. These factors may have critical effect on brands and contribution to customer-based brand equity and could lead to sustainable advantage in the market place. Because perception is an integral part of consumers' evaluation of brands, it might play a significant role in creating building and sustaining brand equity. A selected group of U.S. students and ardent coffee drinkers were surveyed to explore whether price and store image affected consumers' perception of brands; how people viewed characteristics of successful consumer brands and evaluate brands; and if there was any difference attributed to elements such

as price and image. A better understanding will enable marketers to identify smaller, better-defined target markets for improved business competitive advantages.

Research Questions

1. Do store image and perception of price predict customer-based-brand equity?
2. Do store image and perception of price predict customer-based-brand equity equally well for both Starbucks and McDonald's?
3. Do consumer demographic characteristics predict customer-based-brand equity?
4. Do customer demographic characteristics predict customer-based-brand equity equally well for both Starbucks and McDonald's?

Research Hypotheses

- H1: The store image and perception of price significantly predict the customer-based-brand equity.
- H2: The store image and perception of price predict the customer-based-brand equity equally well for Starbucks and McDonald's.
- H3: Consumer demographic characteristics predict the customer-based-brand equity.
- H4: Customer demographics predict the customer-based-brand equity equally well for Starbucks and McDonald's.

Delimitations and Scope

Every study has limitations due to time, financial, human, and other constraints. This study focused on coffee retailers and uses a group of students from one university. Another concern is that the group might also be small and possibly more diversified and not representative of the general U.S. population. Another concern is that the study focused on the effects of price and store image on brand equity. Other marketing elements were not accounted for in this study. This study might carry an "inherent Western bias" of how Western cultures examine, interpret, and evaluate brands. Additional studies should examine cultures others than USA. In addition, the study focused on two retailers and other specialty retailers were not accounted for in this study.

Measuring Brand Equity

One of the most popular issues of *Business Week* is the annual ranking of The 100 Top Global Brands, ranked by Interbrand, a leading brand consultancy based in New York. It has received much attention in recent years because of the growing importance firms and consumers place on brands. Interbrand's methodology was chosen by *BusinessWeek* because it is similar to how other corporate assets are valued. To qualify for the ranking, brands must have brand value in excess of \$1 billion; have one third of their sales outside the home base; and publish their financial and marketing data. These constraints eliminate from possible ranking some famous brands such as BBC, Visa, and even Walmart, the largest retailer in the world with a brand value of over 41 billion dollars (Chu & Keh, 2006; *Financial Times*, 2009). According to Interbrand,

their criteria “exclude brands such as Mars, which is privately held, or Walmart, which is not sufficiently global” because they operate in some international markets but not under the Walmart brand. Ranking is calculated according to the present value of projected profits specifically attributed to branded products, brand strength, and brand value (www.interbrand.com). Although Interbrand and *BusinessWeek* are giants in their respective industry, the ranking often has been criticized due to the subjectivity of methods (Chu & Keh, 2006).

Brand equity, one of the most popular marketing concepts in the past 20 years (Keller, 2013), traditionally is measured for accounting or strategic reasons, hence, financial or consumer related (Na, Marshall, & Keller, 1999; Myers, 2003). Keller and Lehmann (2006) asserted that academics study brand equity from the customer point of view, company point of view, and the financial perspective. Despite the growing interest in brand equity, researchers still have not reached a consensus on how to measure brand equity or how equity changes over time (Aaker, 1991; Ailawadi, Lehmann & Neslin, 2002; Grannell, 2009; Keller, 1993, 2013; Lassar, Mittal, & Sharma, 1995; Myers, 2003; Raggio, & Leone, 2007). There are several different methods of brand evaluations (Keller, 1993), but the lack of consistent and generally accepted standards of brand equity measurements hinders research and progress in the field of brand equity.

According to Aaker (1991), there are five general approaches to measuring brand equity. One approach measures price premium of a brand. Aaker (1996) suggested that “price premium may be the best single measure of brand equity available” (p. 107). With respect to set of competing brands, consumers will be willing to pay a price premium for certain brands or withhold a negative price premium for lesser perceived quality brands. The PC (personal computer) market can be a good example of how consumers buy lower brand equity personal computers such as Dell at a discount, compared to similar but much higher priced Apple (Kotler & Keller, 2009).

Another approach would be to related brand name impact to customer preferences, in which consumers place more trust in one brand over another, and this translates into added sales. As noted earlier, Philip Morris International paid 600% more for Kraft than its book value at the time because of the added sales the word Kraft will be expected to bring.

The third approach looks at the replacement value of the brand. With the growing importance of brands, launching a new product could be very costly (Aaker, 1997). This explains the high multiples brands receive when acquired by firms.

The fourth approach is based on stock price movements, assuming that stocks are priced according to the market expectations of the firm’s performance. The replacement costs of tangible assets of the firm are subtracted, and brand value is determined as a function of stock price, number of shares, industry factors, non-brand factors, and other brand factors such as industry status, advertising, and age of the brand.

The fifth general approach is what Aaker (1991) called “the best measure of brand equity” (p. 26), and it focuses on the earning power of the brand. Basically, it is the discounted present value of future earnings of the brand; however, as experts noted, there are many ways of defining and estimating it (Aaker, 1991; Ailawadi, Lehmann, & Neslin, 2002; Keller, 2013; Lassar, Mittal, & Sharma, 1995).

To create generally accepted standards of brand equity measurements, Aaker (1996) proposed “the brand equity ten, ten sets of measures grouped into five categories” (p. 105) that

measure loyalty, perceived quality, brand associations, awareness, and market behavior. The first four categories represent customer perceptions and the four dimensions of brand equity, while the fifth category measures market share, price, and distribution indices. Aaker (1996) cautioned that using his model will require “dozens of measurements,” and survey instruments should be identical over products, markets, and countries.

In 1999, leading researchers and reactionaries participating in a brand workshop at a Marketing Science Institute (MSI) conference developed 10 criteria for an ideal measure of brand equity listed below (as stated in Raggio, 2006, p. 5).

Table 1-1

MSI (1999) Criteria for an Ideal Measure of Brand Equity (as stated in Raggio, 2006)

Grounded in theory.

Encompassing all the facets of brand equity, yet distinct from other concepts.

Able to flag downturns or improvements in the brand’s value and provide insights into the reasons for the change.

Able to capture future potential in terms of future revenue stream and brand extendibility.

Objective, so that different people computing the measure would obtain the same value.

Based on readily available data, so that it can be monitored on regular basis for multiple brands in multiple product categories.

A single number to enable easy tracking and communication.

Intuitive and credible to senior management.

Robust, reliable, and stable over time, yet able to reflect real changes in brand.

. Validated against other equity measures and constructs that are theoretically associated with brand equity.

Until academics, practitioners, and business agree on a common viewpoint, measuring brand equity will be defined a number of different ways for a number of different purposes (Keller, 2013).

Price and Brand Equity

Dodds, Monroe, and Grewal (1991) and Lamb, Hair, and McDaniel (2011) define price as what is given up in exchange for a good or service. They suggested that price serves as a measure of sacrifice as well as an information cue for consumers for the level of quality of the product and the brand.

Lu (2005) suggested that a consumer’s response to a brand is not only a function of its current price but also a function of how that price compares to a reference price. Similar to Lu (2005), Poundstone (2010), and Ariely (2009) argued that humans rarely know the true value of an item, and they usually rely on their own perception of value and product advantage over another, and usually estimate the value according to what Poundstone (2010) called “anchor pricing.” He suggested that consumers “anchor” or “mental benchmark” their desired item to other substitutions in order to get a sense of value and price. Poundstone (2010) and Ariely (2009) also suggested that people are unable to estimate the correct price due to various influences and consumers’ irrational behavior.

According to Aaker (1996), price may be the “best single measure of brand equity” (p. 321) because it denotes the level of consumers’ satisfaction and loyalty to a brand. He suggested that loyal consumers will be willing to pay a price premium for certain brands, and if they are not, their loyalty level is superficial. Companies such as Apple and Starbucks enjoy loyal and dedicated customers who formed “brand communities” that enable them to charge premium prices, compared to similar competing products. Starbucks was born out of an idea to charge three dollars for a cup of coffee at the time when free refills were the norm in restaurants. Aaker (1996) and Keller (2013) suggested that consumers may infer quality of a product according to the price. Grewal, Monroe, and Krishnan (1998) suggested that retail buyers are influenced by the advertised price as well as the perception of the quality. In studies on the effects of marketing mix, price, brand, and store information on consumers’ perceptions of product quality and value, and their willingness to buy, Dodds, Monroe, and Grewal (1991) and Yoo et al. (2000) concluded that price had a positive effect on perceived quality but negative effect on consumers’ perceived value and their willingness to buy.

Godin (2005) asserted that in order to create the right image, marketers tell stories consumers like to believe. Products that deliver value to consumers become successful due to their “story” and substance, and part of the story is the price. As the old adage goes, consumers’ perception is their reality.

Store Image and Brand Equity

Determined by location, merchandise, advertising, store personnel, prices, and other variables, store image is how the store is perceived by customers (Ostrow, 2009). Positive store image is vital for marketers. Good-image stores attract more potential customers, as well as provide greater customer satisfaction and stimulate positive word-of-mouth communications (Yoo et al., 2000). Store image also has positive effects on perceived quality, and the store name although positive, has minor influence on perceived quality (Dodds et al., 1991).

Positive store image enable better price premiums and has a significant part in building brand equity (Hoeffler & Keller, 2002). It also has a positive effect on store loyalty (Koo, 2003). A few years ago, Dunkin’ Donuts paid a group of Starbucks’ devotees to drink Dunkin’ Donuts coffee for one week, while another group of Dunkin’ Donuts loyal customers were paid to drink Starbucks coffee for a week. The surprising results made the researchers dub the groups as “tribes.” Both groups “loathed” one another other, and while the Dunkin’ Donuts customers viewed Starbucks as “pretentious and trendy,” Starbucks customers viewed them as “plain and unoriginal” (Kotler & Armstrong, 2010). Considering the fact that Dunkin’ Donuts customers consist of middle-income blue-collar people, they are a perfect fit to Dunkin’ Donuts image of “America runs on Dunkin” and the coffee retailer for the average Joe. Starbucks customers who are usually upper-income professionals serve as a perfect fit to Starbucks image as the “third place” for Yuppies. Although Dunkin’ Donuts is ranked number one in customer loyalty in the coffee category, it is revising its strategy in order to refresh its positioning, and get a bigger share of the growing coffee market, by becoming the “Starbucks” of the average Joe (Kotler & Armstrong, 2010).

Discussion of the Literature

Theoretical Literature

Since emerging in the 1980s, the term brand equity still does not have a common viewpoint on how to conceptualize and measure it (Aaker, 2003; Keller, 2013; Porter, 2008; Ritson, 2009; Vrontis & Papasolomou, 2007).

Most experts agree that there is still no common viewpoint about how to conceptualize and measure brand equity. The following table presents major theoretical literature.

Table 2-1
Theoretical Literature

| Author (s) and year | Title | Major Findings |
|---------------------------|--|--|
| Aaker, D.A. (1991) | Managing Brand Equity | Brand is a strategic asset. Explain what brand equity is and how it generates value Brand equity provides value to consumers by enhancing the decision making process speed and evaluation; by increasing product satisfaction; and by minimizing cognitive dissonance Brand equity generates value through five major categories/components of brand loyalty, brand awareness, perceived quality, brand associations, and other proprietary assets such as trademarks and patents. |
| Aaker D.A. (1996) | Building Strong Brands | Five major themes to building strong brands: brand identity, managing the brand identity, brand system, brand equity measurement and brand building imperatives. The essence of brand equity is the value added to the brand and the firm Aaker proposed his “ <i>Brand Equity Ten</i> .” 10 sets of measures were grouped into five categories to measure brand equity. He asserted that four of those categories were customer perceptions of the brand along with brand equity-loyalty, perceived quality, associations, and awareness. |
| Keller, K.L. (2001) | Building customer- based brand equity | Based on Aaker’s brand equity concept, Keller developed the brand building model (CBBE) to map how brand equity can be best built, measured and managed from the point of view of customers. The power of a brand lies in what resides in the minds |

| | | |
|---------------------------|---|---|
| Keller, K.L. (1993; 2008) | Strategic Brand Management | of customers” Based on brand knowledge Brand equity explains why different outcomes result from the marketing of a branded product or service than if it were not branded” (p. 37). The power of the brand lies in the minds of consumers and in what they experienced and learned about the brand The essence of brand equity is the value added to the brand and the firm |
| Raggio & Leone (2007) | The theoretical separation of brand equity and brand value: Managerial implications for strategic planning. | Brand equity is the perception or desire that a brand will meet a promise of benefits. “Brand equity and brand value are not different dimensions of the same construct—they are different constructs” (p. 384). |

Empirical Literature

Baldauf, Cravens, Diamantopoulos, and Zeugner-Roth's (2009) empirical analysis researched the impact of product-country image and marketing efforts on retailer-perceived brand equity (RPBE). The study results indicate that marketing activities and image of country-of-origin were correlated to RPBE. The study also indicated that strong brands create higher perceptions of quality, loyalty and awareness, and promotional activities create value and are an important element of brand building activities. Baldauf et al. (2009) asserted that price level was negatively correlated to RPBE as they reduce the value proposition. This was in contrast to Yoo et al. (2000) study showing that high price is positively correlated to brand equity.

Pappu and Quester (2008) examined whether retailer brand equity varies between a department store and a specialty clothing store. Their findings also indicated that advertising and marketing budgets had great influence on brand equity. Pappu and Quester (2008) acknowledged the limitation of examining two different store categories instead of including more types of retail categories and stores.

Yoo et al. (2000) studied the effects of elements of the marketing mix on brand equity. They used data obtained from 569 students enrolled at a major state university. Their findings supported positive correlation between marketing mix elements and brand equity. They asserted that brand equity is developed through perceived quality, brand loyalty, brand awareness, and associations, which takes time to build or destroy. Grewal, Krishnan, Baker, and Borin (1998) studied the effect of store name, brands, and price discounts on consumers' evaluations and purchase intentions. The study concluded that store image had a direct and positive correlation with purchase intention. While the store image is influenced by the store's brand name and quality of merchandise it carries; price discounts, internal reference price, and brand's perceptions of quality had significant influence on perceived value.

Kim and Hong-Bumm (2004) investigated the relationship between customer-based restaurant brand equity and firms performance. They tested four elements of brand equity: brand awareness, brand image, brand loyalty, and perceived quality. Their study concluded that strong brand equity is significantly correlated with revenues. While brand awareness had the strongest effect on revenues, it had the smallest effect on brand equity. They also concluded that brand loyalty had the least effect on firms' performance. The authors asserted that the store's image is much more important than its characteristics.

Following is a list of empirical studies.

Table 2-2
Empirical Studies

| Author (s) and year | Title | Major Findings |
|--|--|--|
| Baldauf, A., Cravens, K. S., Diamantopoulos, A., & Zeugner-Roth, K. P. (2009). | The impact of product-country image and marketing efforts on retailer-perceived brand equity | Price level was negatively correlated to RPBE as it reduces the value proposition. Strong brands create higher perceptions of quality, loyalty and awareness. Promotional activities create value and are an important element of brand building activities. Marketing activities and country-of-origin image of merchandise were correlated to RPBE. Contradicted Yoo, Donthu, and Lee (2000) study showing that high price is positively correlated to brand equity. |
| Grewal, D., Krishnan, R., Baker, J., & Borin, N. (1998) | The effect of store name, brand name and price discounts on consumers' evaluations and purchase intentions | Store image had a direct and positive correlation with purchase intention. Store image is influenced by the store's brand name and quality of merchandise it carries. Price discounts, internal reference price and brand's perceptions of quality had significant influence on perceived value. Carefully managed price discounts will positively influence perceptions of value, without any adverse effects on a brand's perceived quality. |
| Kim, G. W., Hong-Bumm, K. B. (2004). | Measuring Customer-Based Restaurant Brand Equity | Strong brand equity is significantly correlated with revenues. While brand awareness had the strongest effect on revenues, it had the smallest effect on brand equity. |

| | | |
|---|---|--|
| Pappu, R., & Quester, P. G. (2008). | Does customer satisfaction lead to improved brand equity? An empirical examination of two categories of retail brands | Brand loyalty had the least effect on firms' performance. Store image is much more important than its characteristics. Retailer brand equity varies significantly between department stores and specialty clothing store categories. Advertising and marketing budgets had great influence on brand equity. |
| Pappu, R., Quester, P. G., & Cooksey, R. W. (2005). | Consumer-based brand equity: improving the measurement-empirical evidence | Store image is influenced by the store's brand name and quality of merchandise it carries. Price discounts, internal reference price and brand's perceptions of quality had significant influence on perceived value. Carefully managed price discounts will positively influence perceptions of value, without any adverse effects on brand's perceived quality They suggested usage of non-student population and diverse product categories in future studies. |
| Yoo et al. (2000). | An Examination of Selected Marketing Mix Elements and Brand Equity | Examining the relationships between marketing mix elements and brand equity. Brand equity provides sustainable competitive advantage. Brand equity is developed through perceived quality, brand loyalty, brand awareness and associations, which takes time to build or destroy. Frequent use of price promotions will harm brand equity High advertising spending, high price, good store image and high distribution intensity are positively correlated to brand equity. |

Methodology

Consumers' brand beliefs usually are based on memory and association with the brand. Variables such as word of mouth, personal experience, employee attitude, and product packaging can generate different brand image and perception. For example, due to McDonald's image as "fast and cheap," consumers may believe coffee served at McDonald's is not premium coffee, even if they never have had a cup of coffee at McDonald's. Due to the recent introduction of McDonald's McCafe in the U.S. and its positioning as a premium coffee, a considerable amount of money has been committed to McDonald's careful market positioning of its new premium coffee in the highly lucrative and competitive retail coffee segment. Historically, McDonald's restaurant interiors were "bright red and yellow color palette....served to stimulate the 'fast' portion of the fast-food equation" because research has shown these colors encourage movement and action (Rath, Bay, Petrizzi, & Gill, 2008, p. 334). Adapting to consumers changing eating habits, McDonald's began redecorating its restaurants with more earth-tone shades to encourage customers to spend more time and money at their restaurants. According to the Wall Street Journal, Starbucks is less sensitive to prices because of its high-end consumer base (Gasparro, 2012).

The present study investigated the effects of price and store image on customer-based-brand-equity, and the differences between perceptions of two major retailers that may be attributed to price and store image. The independent variables were price, store image, and respondent demographic characteristics. The dependent variables were consumers' perception of brands and the customer-based brand equity (CBBE). The study was designed to provide a better understanding of how brand equity is affected.

Research Design

This research was a quantitative, non-experimental, exploratory study using survey research of subjects to examine the effects of price and store image on customer-based-brand-equity for retail customers in South Florida. Data for this study came from a survey conducted among U.S. university students who were consumers and ardent customers of retail coffee shops. This design called for subjects to be surveyed in classrooms on a university campus.

Subjects were requested to respond to three survey instruments. The first part measured consumer demographic characteristics such as coffee drinking habits, age, race, gender, income, education, and academic GPA using the researcher's own Consumer Characteristics Questionnaire. Part two, using the brand equity measurement approach adopted from measures developed by Yoo et al. (2000), examined the effect of price on customer-based brand equity. Part three, the Brand Image Scale developed by Kim and Hong-Bumm (2004), examined brand image, and consisted of three constructs: brand loyalty, perceived quality, and brand association and awareness. The questionnaire was pretested using customers of Starbucks and McDonald's McCafe, and was revised and improved accordingly.

The study explored four research questions. The first research question explored the differences if any, in customer-based-brand-equity, based on customer perceptions of price and store image. Research question two explored the differences if any, in customer-based brand equity for McDonald's McCafe and Starbucks, based on customer perceptions of price and store image. Research question three explored differences in CBBE based on the characteristics of the retailer's customers. Research question four examined the characteristics of consumers of the leading coffee retailers in the U.S. (Starbucks and McDonald's), and differences if any in CBBE.

The study also tested four research hypotheses. The first hypothesis examined potential differences among store image, price, and retailer's customer-based-brand equity (brand loyalty, brand awareness, perceived quality, and brand association); hence, the researcher assumed the CBBE was correlated positively to store image and price. The second hypothesis examined differences among leading coffee retailers McDonald's and Starbucks based on customer's perception of price, store image, and customer-based-brand-equity (brand loyalty, brand awareness, perceived quality, and brand association); hence, the two major retailers' customer perceptions of price and store image will have differential influence on customer-based-brand-equity. The third hypothesis explored differences among consumer characteristics, price, store image, and customer-based-brand-equity (brand loyalty, brand awareness, perceived quality, and brand association); hence, consumer characteristics can have an influence on CBBE. The fourth hypothesis explored differences among consumer characteristics, price, store image, and customer-based-brand-equity (brand loyalty, brand awareness, perceived quality, and brand association); hence, consumer characteristics of both retailers will have equal influence on CBBE.

Demographic and CBBE measurement instruments were used. The study had three parts. Part one, Personal Characteristics Profile questionnaire developed by the researcher, had 12 items that measured consumer characteristics of coffee drinking habits, brand preferences, money spent on coffee, and shopping frequency. Additional questions covered age, race, education, student status, academic GPA, gender, and employment status. Part two evaluated price and brand awareness according to the Marketing Mix scale developed by Yoo et al. (2000) using 5-point Likert-type scales, with anchors of 1=strongly disagree and 5=strongly agree. The 9-item scale with two constructs: 4 each for price, and 5 for brand awareness-associations. Yoo et al. (2000) studied the effects of elements of the marketing mix on brand equity. They used data obtained from 569 students enrolled at a major state university. Their findings indicated a positive correlation between marketing mix elements and brand equity. They asserted that brand equity is developed through perceived quality, brand loyalty, brand awareness, and associations, which takes time to build or to destroy. They also asserted that high advertising spending, high price, good store image, and high distribution intensity is positively correlated to brand equity. However, they cautioned that frequent use of price promotions will have a negative effect on brand equity. Yoo et al. (2000) recognized the challenge of using students only in the study, but argued that students also were primary consumers (p. 202).

Part three evaluated customer-based-brand-equity evaluating brand loyalty, brand image, and perceived quality based on the Brand Equity Scale (Kim & Hong-Bumm, 2004), using 5-point Likert-type scales, with anchors of 1=strongly disagree and 5=strongly agree. The Brand Equity Scale is a 25-item scale with three constructs: 6 for brand loyalty, 9 for perceived quality, and 8 for brand image. Kim et al. (2004) investigated the relationship between customer-based restaurant brand equity and firms' performance. They tested four elements of brand equity: brand awareness, brand image, brand loyalty, and perceived quality. Their study concluded that strong brand equity is significantly correlated with revenues. While brand awareness had the strongest effect on revenues, it had the smallest effect on brand equity.

To address major sources of internal validity, the researcher looked at four possible threats to internal validity such as measurement, history, maturation, and statistical regression (Kerlinger & Lee, 2000). Internal validity of the study was insured by adopting existing measurements of brand equity in retail environment by Yoo et al. (2000), and Kim and Hong-

Bumm (2004). All the above instruments had a reliability Cronbach's coefficients of .80 or higher.

Threats to instrumentation was minimized by ensuring the researcher was the sole observer and handler of surveys, done in a timely manner. Selection threat was minimized because surveys were conducted in classrooms with a group of undergraduate student body that shared similar characteristic. Due to the short time period of the administration of the survey, the researcher did not expect a problem with maturation, attrition, or history. Also, instrumentation did not present a threat to internal validity because data were collected using the same instruments and by the same researcher.

With regard to external validity and as it related to the "representativeness or generalization" of the research (Kerlinger & Lee, 2000, p. 26), the researcher recognized that the student sample from a regional university might have limited the ability to generalize the findings. The subjects (coffee drinkers), and the fact that precautions were taken to ensure a large enough sample of participants, minimized effects on the external validity.

To minimize controls for extraneous variables, Kerlinger and Lee (2000) suggested one should use participants as homogenous as possible. The study sample was derived from students at a regional U.S. university, which represented a fairly homogenous group of young adults, students, who are consumers and coffee drinkers. The researcher understood that a cohort of students probably will share many similar demographic characteristics, such as age, income, marital status, student status, employment, and race. This group also represented coffee drinkers. Kerlinger and Lee (2000) also suggest we can control extraneous variables through randomization. To achieve it, the "accidental sample" of students was surveyed through in-classroom interceptions during the day, choosing classrooms at random.

Some perceived weaknesses were the use of the group of students from one university, and certain and limited geographical location such as southeastern United States and Miami-Dade County, Florida. The group also might have been small and not representative of the general U.S. population. To minimize effects, the same procedures such as questionnaires, survey conditions, and time of surveys were used for all students and by same interviewer.

Sampling Method

This study analyzed the individual retail coffee consumer in the U.S. The sampling frame for this study was college students who were customers of retail coffee shops. Subjects were selected from students on the campus of St. Thomas University during weekdays between the hours of 9:00 a.m. and 5:00 p.m. The "accidental sample" was selected from coffee drinking students. Because surveyed subjects were not returned to the population, this was sampling without replacement. Subjects were intercepted in classrooms throughout the university campus and were asked to participate as part of a university study. To ensure sampling without replacement, subjects were asked if they had completed this survey earlier and the sample was a convenience sample.

Data collection took place during the day, and the researcher performed the survey process and collection of forms. The researcher ensured the same procedures such as questionnaires, survey conditions, and times of surveys were used for all students and by the same interviewer.

Kerlinger and Lee (2000) argued that too large a sample will result in wasted resources and too small of a sample will not be large enough to detect any significance. They added that "the larger the sample the smaller the error" (p. 175). When determining sample size, as a rule,

the larger the sample, the smaller the error of deviation from population values and vice versa. It is critical to have a sufficient sample size because larger samples are more accurate and “give the principle of randomization, or simply randomness, a chance to work” (Kerlinger & Lee, 2000, p. 177). It is critical to have sufficient sample size to have power in the test, which is the ability of a test of statistical significance to detect differences in means. Power is a fractional value between 0 and 1.00 that is defined as “1-b, where b is the probability of committing Type II error. The Type II error is failing to reject a false null hypothesis” (Kerlinger & Lee, 2000, p. 453).

In this study, the accessible population consisted of a student body of approximately 3,500 at St. Thomas University, and the sample size was 539, constituted by 289 students who frequent Starbucks and 250 students who frequent McDonalds’ McCafe. Because the researcher was well aware that most coffee drinkers might frequent both retailers, respondents were asked to answer questionnaires regarding the retailer they frequent more. In essence, the researcher preferred to follow the money.

Data Collection and Data Analysis Procedures

Hypothesis tests were evaluated using multiple linear regression. Regression is the most appropriate techniques because it examines the strength of the association between the criterion variable, customer-based-brand-equity, and a set of independent variables that are predictors of the criterion. Multiple linear regression is more appropriate than correlation because it allows the researcher to examine the collective association between the criterion variable and more than one independent variable. The significance of the regression is evaluated by an F-test. If this test is statistically significant, it means the set of predictors are significantly associated with the criterion variable. The strength of the association between individual predictors and the criterion variable is evaluated by a t-test. A statistically significant t-test for a particular independent variable indicates there is a significant association between that variable and the criterion, after controlling for the influence of the other independent variables in the model. This reduces the risk of an erroneous correlation between a single independent variable and the criterion.

Data Analysis and Results

Overview

This research was a quantitative, non-experimental, exploratory-comparative study using survey research of subjects. Data were collected from U.S. university students who are customers of retail coffee shops, and then the data were analyzed using the IBM SPSS 19.0 statistical software. Descriptive and inferential statistics including t-tests and three-way ANOVA were used to analyze the data and answer the research questions and hypotheses.

Sample and Data Analysis

The convenience and accidental sample was selected from coffee drinking students on the campus of St. Thomas University, located in the southeastern United States. Subjects were contacted in classrooms throughout the university’s campus during weekdays and were asked to participate voluntarily in a university study. To ensure sampling without replacement, subjects

were asked if they had completed the survey earlier. A total of 621 students completed the survey, but 82 questionnaires were deemed incomplete responses and were not used in the study. A total of 539 questionnaires was used for the data analysis, with 250 questionnaires containing McDonald's McCafe survey data, and 289 questionnaires containing Starbucks survey data. Because the researcher was aware that most coffee drinkers might frequent both retailers, respondents were asked to answer questionnaires regarding the retailer they frequent most. In essence, the researcher preferred to follow the money.

In this study, 329 respondents answered the Starbucks survey, while 292 respondents answered the McDonald's McCafe survey. Forty Starbucks survey responses were deemed invalid, while McDonald's McCafe had 42 invalid responses. The researcher deemed a particular survey as invalid for various reasons, especially respondents who did not complete important questions such as "Do you drink/purchase Coffee at Starbucks and/or McDonald's McCafe?" In addition, those respondents who had conflicting answers such as answering "yes" to question number two "Do you drink/purchase Coffee at Starbucks and/or McDonald's McCafe?" while answering "no" to question number nine: "I don't drink coffee at Starbucks (McDonald's McCafe)" were deemed invalid. This resulted in a total of 250 valid McDonald's McCafe questionnaires, and 289 valid Starbucks questionnaires. Table 4-1 presents the frequency of valid, invalid, and total responses.

Table 3-1

Responses of Students, who drink/purchase Coffee at Starbucks and/or McDonald's McCafe

| | Starbucks | | McDonald's McCafe | | Total Surveys | |
|------------------------------|-----------|-----|-------------------|-----|---------------|-----|
| Total surveys completed | 329 | | 292 | | 621 | |
| Invalid surveys (Percentage) | 40 | 12% | 42 | 14% | 82 | 13% |
| Valid surveys | 289 | | 250 | | 539 | |

The survey instrument included three parts. The first part measured consumer demographic characteristics using the researcher's own Consumer Characteristics questionnaire. Part two, using the brand equity measurement approach adopted from Yoo, Donthu, and Lee (2000) examined the effect of price on customer-based brand equity. Part three, the Brand Image Scale developed by Kim and Hong-Bumm (2004) examined brand equity, and consisted of three constructs: brand loyalty, perceived quality, and brand association and awareness.

Reliability Analysis

The reliability of the scales was evaluated using Cronbach's alpha. The standard for reliability in peer reviewed publications is a minimum of 0.80. All the scales were reliable.

Table 3-2
Reliability of Scales

| Scale | Cronbach's alpha |
|-----------------------------|------------------|
| Customer-Based-Brand Equity | .928 |
| Brand Loyalty | .797 |
| Brand Association | .789 |
| Brand Awareness | .868 |
| Perceived Quality | .872 |
| Perception of Price | .750 |
| Store Image | .817 |

The first statistical test is a descriptive analysis of consumer characteristics of specialty coffee retailers.

Descriptive Analysis

Characteristics of consumers of specialty coffee retailers. Consumer characteristics of Starbucks and McDonald's McCafe, two of the world's leading coffee retailers, were analyzed, and subjects answered questions regarding gender, employment status, age, race, education level, academic GPA, coffee drinking habits at Starbucks and McDonald's McCafe, and prices paid. Among this student population, males were the majority in the sample with 53.1%, and females were 46.9%. A total of 71.3% of respondents were between 18 and 24 years old while 13.5% were between the ages of 25 and 27 years old. Since this was a student sample, it was not surprising that most did not work or worked part time. A total of 42.3% were not working, while 32.2% worked part time. Only 25.5% worked full time. The majority of student consumers in the sample describe themselves as "Hispanic/Latino" at 42.5%, followed by "White" at 19.4%, and "Black or African American" at 19.4%.

The educational level for student consumers sample of Starbucks and McDonald's McCafe was distributed evenly with postgraduate at 18%, four-year college at 17.8%, senior status at 12.4%, and the junior status at the largest percentage of 19.3%. The sophomore category was at 17.2%, and the first year category represented 15.4%. The majority of sample students self-reported an academic GPA between 3.3 and 3.79 (38%) followed by a GPA between 2.8 and 3.29 (30.1%).

The majority of consumers reported they visited their retail establishment two to three times a week (39.5%), while 32.2% visited less than once a week. On average, customers spent \$5.57 per visit. Starbucks customers spent on average \$6.57 per visit, and more than McDonald's McCafe customers who spent \$4.57 per visit.

Table 3-3
Characteristics of Consumers of Specialty Coffee

| Characteristics Variable | Frequency | Percent |
|---|-----------|---------|
| Gender | | |
| Male | 284 | 53.1 |
| Female | 251 | 46.9 |
| Employment Status | | |
| Working Full Time | 132 | 25.5 |
| Not Working | 219 | 42.3 |
| Working Part Time | 167 | 32.2 |
| Age | | |
| 18-24 | 380 | 71.3 |
| 25-27 | 72 | 13.5 |
| 28-35 | 50 | 9.4 |
| Over 36 | 31 | 5.8 |
| Race | | |
| Asian | 37 | 7.0 |
| Black or African American | 103 | 19.4 |
| Hispanic/Latino | 226 | 42.5 |
| White | 103 | 19.4 |
| American Indian or Alaska Native | 2 | 0.4 |
| Native Hawaiian or Pacific Islander | 4 | 0.8 |
| International (not US citizen/resident) | 57 | 10.7 |
| Educational Level | | |
| Postgraduate | 96 | 18.0 |
| 4-year college graduate | 95 | 17.8 |
| Senior | 66 | 12.4 |
| Junior | 103 | 19.3 |
| Sophomore | 92 | 17.2 |
| Freshman | 82 | 15.4 |
| Academic GPA | | |
| Less than 2.0 | 8 | 1.5 |
| 2.0-2.19 | 16 | 3.0 |
| 2.2-2.79 | 60 | 11.3 |
| 2.8-3.29 | 160 | 30.1 |
| 3.3-3.79 | 202 | 38.0 |
| 3.8-4.0 | 86 | 16.2 |

How often do you drink coffee at Starbucks/McCafe?

| | | |
|--------------------------|-----|-------|
| 3 or more times per week | 119 | 22.2 |
| 1-2 times per week | 198 | 37.0 |
| Less than once a week | 179 | 33.45 |
| Invalid response | 39 | 7.35 |

On average how much you spend per visit? \$5.57

On average how much you spend per visit at McCafe? \$4.57

On average how much you spend per visit at Starbucks? \$6.57

To create a numerical index for each of the constructs used in the analysis (customer-based-brand equity, brand loyalty, brand association, brand awareness, perceived quality, store image, and perception of price), the constructs were made operational as the principal component of the relevant items on the instrument. For the Perception of Price index, a high value indicates the perception of a high price. For the Store Image index, a high value indicates a positive image. Similar to the other indices, a high value indicates a high level of brand equity, brand loyalty, brand association, brand awareness, and perceived quality.

Table 3-4
Principal Components of the Scales

| Scale | Percent of Total Variance Accounted for by Principal Factor |
|-----------------------------|--|
| <hr/> | |
| Customer-Based-Brand Equity | 48.7% |
| Brand Loyalty | 61.1% |
| Brand Association | 61.3% |
| Brand Awareness | 79.1% |
| Perceived Quality | 58.7% |
| Perception of Price | 68.1% |
| Store Image | 53.5% |

Customer Perceptions of Price and Store Image

Consumers often base their buying decisions on impressions of price and store image. For this study, we examined price and store image based on studies by Yoo, Donthu, and Lee (2000) and Kim and Hong-Bumm (2004), using 5-point Likert-type scales, with anchors of 1=strongly disagree and 5=strongly agree. Descriptive analysis of the means and standard deviations of customer perceptions of price and store image is shown in Table 4-5. Price was perceived as

significantly higher at Starbucks, $t(516) = 17.138$, $p < .001$. Also, store image was significantly more positive at Starbucks, $t(524) = 10.711$, $p < .001$.

Table 3-5
Customer Perceptions of Price and Store Image

| Item | N | Mean | Std. Deviation |
|----------------------------|-----|---------|----------------|
| Price | 518 | 0.000 | 1.000 |
| Price for Starbucks | 274 | .56781 | .80028 |
| Price for McDonald's | 244 | -.63762 | .79767 |
| Store Image | 526 | 0.000 | 1.000 |
| Store Image for Starbucks | 280 | .39688 | .82664 |
| Store Image for McDonald's | 246 | -.45174 | .98983 |

Note: means and standard deviations are expressed in units of standard deviations.

The response indicates that specialty coffee consumers usually view prices charged for their coffee indulgence as mid-range. However, Starbucks customers might view price as more accurately representing value for their coffee.

Customer perception of store image range indicates that specialty coffee consumers usually have a good image of their coffee purveyor, while Starbucks had a much higher quality and well-known image among its customers than McDonald's McCafe. This might be the reason Starbucks customers pay higher prices than their competitor, but still view their prices more adequate than McDonald's McCafe prices.

Results indicate that both store image and price might positively influence specialty coffee consumers buying behavior. These results present definite value to the retailer.

Customer-Based Brand Equity

For the purpose of the study, customer-based brand equity (CBBE) was measured by four dimensions: brand loyalty, perceived quality, brand awareness, and brand association. In essence, strong brand equity means customers perceive the brand to be of high quality; and have strong, positive, and favorable brand associations and awareness. In addition, customers are loyal to the brand when there is strong brand equity.

An analysis of customer perceptions of brand equity revealed that, in general, specialty coffee customers were loyal to their coffee retailer. The means of brand loyalty ranged from 3.58 to 4.24. Also, customers exhibited a high level of brand awareness and brand association that ranged from 3.91 to 4.53, and this was not surprising since Starbucks and McDonald's McCafe are leading global retailers. When it comes to perceived quality, results also were strong, ranging from 3.5 to 4.25. Overall, Starbucks, the brand, displayed a higher brand equity than McDonald's, the brand, in contrast to Interbrand's ranking of global brands where McDonald's is ranked 12 and Starbucks is ranked 60 among the top global brands (2018).

The descriptive analysis of means and standard deviations for customer perceptions are shown in Table 4-6. All the differences in means are highly statistically significant, $p < .001$, and all the differences favor Starbucks over McDonald's.

In summary, all Customer-Based Brand Equity (CBBE) displayed strong and favorable constructs.

Table 3-6
Customer Perceptions of Brand Equity

| Item | N | Mean | Std. Deviation |
|--------------------------------|-----|---------|----------------|
| Brand Equity-Total | 505 | 0.000 | 1.000 |
| Brand Equity-Starbucks | 271 | .441 | .800 |
| Brand Equity-McDonald's | 234 | -.511 | .966 |
| Brand Loyalty-Total | 531 | 0.000 | 1.000 |
| Brand Loyalty-Starbucks | 286 | .3586 | .7577 |
| Brand Loyalty-McDonald's | 245 | -.4186 | 1.0839 |
| Brand Awareness Total | 530 | 0.000 | 1.000 |
| Brand Awareness-Starbucks | 282 | .37376 | .80591 |
| Brand Awareness-McDonald's | 248 | -.42500 | 1.03051 |
| Perceived Quality Total sample | 524 | 0.000 | 1.000 |
| Perceived Quality-Starbucks | 282 | .43652 | .79254 |
| Perceived Quality-McDonald's | 242 | -.51408 | .97553 |
| Brand Association Total sample | 530 | 0.000 | 1.000 |
| Brand Association-Starbucks | 282 | .39907 | .81888 |
| Brand Association-McDonald's | 248 | -.4537 | .99512 |

Research Question 1

Do store image and perception of price predict customer-based-brand equity?

Consumers' perceptions of the brand are the "snapshot impression of the brand and its association" (Berry, 2000, p. 129). The Yoo, Donthu, and Lee (2000) study showed that high price is positively correlated to brand equity, and research question number 1 looked at the differences, if any, in customer-based brand equity for McDonald's McCafe and Starbucks, based on customer perceptions of price.

Research Hypothesis 1: The store image and perception of price significantly predict the customer-based-brand equity.

Hence, the researcher expects the store image and perception of price are positively correlated with customer-based-brand equity.

A multiple linear regression analysis was conducted to evaluate how well store image and perception of price predicted customer-based-brand equity. The predictors were store image and perception of price. The criterion variable was the customer-based-brand equity. The linear combination of predictors was significantly related to customer-based-brand equity, $F(2,480) = 808.048$, $p < .001$. The sample multiple correlation coefficient was .88, indicating that approximately 77% of the variance of customer-based-brand equity in the sample can be accounted for by the linear combination of predictors; see Table 4-7. The research hypothesis was accepted. As expected, store image and perception of price are positively correlated with customer-based-brand equity.

Table 3-7

*Regression Analysis Summary for Store Image and Perception of Price
Predicting Customer-Based-Brand Equity*

| Variable | Unstandardized Coefficient | Standard Error | Standardized Coefficient | t |
|------------------------|----------------------------|----------------|--------------------------|--------|
| (Constant) | -.025 | .022 | | 1.146 |
| Perception of Price*** | .106 | .023 | .105 | 4.553 |
| Store Image*** | .866 | .024 | .839 | 36.355 |

Note. $R^2 = 0.77$ ($N = 483$, $p < 0.001$)

*** $p < .001$. one-tail

Research Question 2

Do store image and perception of price predict customer-based-brand equity equally well for both Starbucks and McDonald's?

Research Hypothesis 2: The store image and perception of price predict the customer-based-brand equity equally well for Starbucks and McDonald's.

A multiple linear regression analysis was conducted to evaluate the extent to which store image and perception of price predicted customer-based-brand equity equally for Starbucks and McDonald's. The predictors were store image, perception of price, a dummy variable indicating which store the respondent visits, and variables indicating the interaction of store with store image and perception of price. If the interaction variables are statistically significant, it indicates there are significant differences between Starbucks and McDonald's. The criterion variable was the customer-based-brand equity.

The linear combination of predictors was significantly related to customer-based-brand equity, $F(5,477) = 338.676$, $p < .001$. The sample multiple correlation coefficient was .88, indicating that approximately 77% of the variance of customer-based-brand equity in the sample can be accounted for by the linear combination of predictors; see Table 4-8. The research hypothesis was accepted because the interaction terms were not statistically significant. As expected, store image was positively correlated with customer-based-brand equity; however, the perception of price was not significantly related to customer-based-brand equity.

Table 3-8

Regression Analysis Summary for Store Image, Perception of Price, Store, and Interactions Predicting Customer-Based-Brand Equity

| Variable | Unstandardized Coefficient | Standard Error | Standardized Coefficient | t |
|-------------------------|----------------------------|----------------|--------------------------|--------|
| (Constant) | -.176 | .042 | | 4.241 |
| Perception of Price | .014 | .039 | .014 | .352 |
| Store Image*** | .826 | .033 | .800 | 24.669 |
| Store*** | .247 | .057 | .122 | 4.356 |
| Store-Price interaction | .056 | .054 | .036 | 1.028 |
| Store-Image interaction | .021 | .049 | .013 | .426 |

Note. $R^2 = 0.77$ (N = 483, $p < 0.001$)

*** $p < .001$. one-tail

Research Question 3

Do consumer demographic characteristics predict customer-based-brand equity?

Research Hypothesis 3: Consumer demographic characteristics predict the customer-based-brand equity.

A multiple linear regression analysis was conducted to evaluate the extent to which consumer demographic characteristics predicted customer-based-brand equity. The predictors were gender, employment status, age, race, education, and academic GPA. The criterion variable was the customer-based-brand equity. The linear combination of predictors was significantly related to customer-based-brand equity, $F(6,465) = 4.562$, $p < .001$. The sample multiple correlation coefficient was .24, indicating that approximately 6% of the variance of customer-based-brand equity in the sample can be accounted for by the linear combination of predictors; see Table 4-9. The research hypothesis was accepted. Higher levels of education are associated with higher customer-based-brand equity. Female gender also was associated with higher customer-based-brand equity.

Table 3-9

Regression Analysis Summary for Customer Demographics Predicting Customer-Based-Brand Equity

| Variable | Unstandardized Coefficient | Standard Error | Standardized Coefficient | t |
|-------------------|----------------------------|----------------|--------------------------|-------|
| (Constant) | -1.130 | .334 | | 3.381 |
| Gender*** | .351 | .090 | .178 | 3.892 |
| Employment status | -.075 | .063 | -.057 | 1.183 |
| Age | .089 | .063 | .077 | 1.418 |
| Race | .024 | .030 | .037 | .810 |
| Education** | .093 | .030 | .162 | 3.048 |

| | | | | |
|--------------|------|------|------|-------|
| Academic GPA | .053 | .043 | .057 | 1.242 |
|--------------|------|------|------|-------|

Note. $R^2 = 0.06$ ($N = 472$, $p < 0.001$)

** $p < .01$ *** $p < .001$. one-tail

Research Question 4

Do customer demographic characteristics predict customer-based-brand equity equally well for both Starbucks and McDonald's?

Research Hypothesis 4: Customer demographics predict the customer-based-brand equity equally well for Starbucks and McDonald's.

A multiple linear regression analysis was conducted to evaluate the extent to which consumer demographic characteristics predicted customer-based-brand equity equally well for Starbucks and McDonald's. The predictors were gender, employment status, age, race, education, academic GPA, store, and variables indicating the interaction of store with customer demographics. If the interaction variables are statistically significant, it indicates there are significant differences between Starbucks and McDonald's. The criterion variable was the customer-based-brand equity.

The linear combination of predictors was significantly related to customer-based-brand equity, $F(13, 458) = 13.571$, $p < .001$. The sample multiple correlation coefficient was .53, indicating that approximately 28% of the variance of customer-based-brand equity in the sample can be accounted for by the linear combination of predictors; see Table 4-10. The research hypothesis was rejected because the interaction term for academic GPA was statistically significant. Higher academic GPA was associated with greater customer-based-brand equity for Starbucks, but not for McDonald's.

Table 3-10

Regression Analysis Summary for Customer Demographics Predicting Customer-Based-Brand Equity

| Variable | Unstandardized Coefficient | Standard Error | Standardized Coefficient | t |
|------------------------------|----------------------------|----------------|--------------------------|-------|
| (Constant) | -.855 | .435 | | 1.964 |
| Gender* | .237 | .118 | .120 | 2.009 |
| Employment status | -.096 | .080 | -.073 | 1.197 |
| Age | .114 | .085 | .099 | 1.348 |
| Race | -.007 | .039 | -.010 | .175 |
| Education** | .117 | .042 | .205 | 2.783 |
| Academic GPA | -.080 | .052 | -.086 | 1.535 |
| Store | .208 | .597 | .105 | .349 |
| Store-gender interaction | .028 | .161 | .024 | .172 |
| Store-employment interaction | .055 | .112 | .067 | .495 |
| Store-age interaction | -.026 | .113 | -.025 | .230 |
| Store-race interaction | .036 | .053 | .072 | .674 |
| Store-education interaction | -.058 | .055 | -.127 | 1.053 |
| Store-GPA interaction* | .152 | .076 | .374 | 1.991 |

Note. $R^2 = 0.06$ (N = 472, $p < 0.001$)

* $p < .05$ ** $p < .01$.

In summary, the customer-based brand equity (CBBE) constructs were favorable for both groups of respondents. However, Starbucks was consistently rated higher in all categories. Store image and perception of price were statistically significant predictors of customer-based-brand equity while gender and education were associated with customer-based-brand equity. Store image had the strongest association with brand equity followed by perception of price. Gender and education had a weaker association. Academic GPA was significantly associated with customer-based-brand equity only for Starbucks. The other demographic characteristics were not associated with customer-based-brand equity for either Starbucks or McDonald's.

Findings, Discussion, Conclusions, Limitations, and Recommendations

Findings and Discussions

This study aimed to provide a better understanding of the effects of price and store image on customer-based brand equity and possible differences between perceptions of two major retailers that may be attributed to price and store image. The study concentrated on Starbucks and McDonalds' McCafe, the two leading coffee retailers in the U.S. In addition, this study explored differences in customer-based brand equity based on the characteristics of the retailer's customers. The independent variables were price, store image, and respondent demographic characteristics such as coffee drinking habits, age, race, gender, income, education, and academic

GPA. The dependent variable was consumers' perception of brands and the customer-based brand equity.

Research Question One established the relationship between store image, perception of price, and customer-based-brand equity. A multiple linear regression analysis was conducted to evaluate how well store image and perception of price predicted customer-based-brand equity. The combination of store image and perception of price was significantly related to customer-based-brand equity. The sample multiple correlation coefficient was .88, indicating that approximately 77% of the variance of customer-based-brand equity in the sample can be accounted for by the linear combination of predictors. This supported the research hypothesis that store image and perception of price are positively correlated with customer-based-brand equity. The results supported the Yoo, Donthu, and Lee (2000) assertion that high price is positively correlated to brand equity and the conclusion of the study by Grewal et al. (1998) that store image had a direct and positive correlation with purchase intention. Results contradicted the assertion by Baldauf et al. (2009) that price level was negatively correlated to brand equity as it reduces the value proposition.

Research Question Two established the relationship among store image, perception of price, Starbucks and McDonald's, and customer-based-brand equity. A multiple linear regression analysis was conducted to evaluate the extent to which store image and perception of price predicted customer-based-brand equity equally for Starbucks and McDonald's. The linear combination of store image, perception of price, and the interaction of store with store image and perception of price were significantly related to customer-based-brand equity. The research hypothesis was accepted, and store image was positively correlated with customer-based-brand equity; however, the perception of price was not significantly related to customer-based-brand equity. This did not align with the assertion of Pappu et al. (2008) that retailer brand equity varies significantly between different categories of retailers (department store and specialty clothing store).

Research Question Three addressed the relationship between consumer demographic characteristics and customer-based-brand equity. A multiple linear regression analysis was conducted and resulted in acceptance of the research hypothesis. It indicated that higher levels of education are associated with higher customer-based-brand equity and that the female gender was associated with higher customer-based-brand equity.

Research Question Four dealt with customer demographic characteristics and how well they can predict customer-based-brand equity equally for both Starbucks and McDonald's. A multiple linear regression analysis was conducted and indicated the interaction term for academic GPA was statistically significant. While higher academic GPA was associated with greater customer-based-brand equity for Starbucks, it was not for McDonald's, and the research hypothesis was rejected.

Table 4-1

Research Objectives, Hypotheses, and Results

| Research Objectives | Hypotheses | Results |
|---|---|---|
| 1. The relationship between store image, perception of price, and customer-based-brand equity | H1: Store image and perception of price significantly predict the customer-based-brand equity. Hence, the researcher expects the store image and perception of price are positively correlated with customer-based-brand equity | Results supported and accepted |
| 2. The relationship among store image, perception of price, Starbucks and McDonald's, and customer-based-brand equity equally | H2: Store image and perception of price predict the customer-based-brand equity equally well for Starbucks and McDonald's | Results supported store image and partially supported price. Tended to accept |
| 3. The relationship between consumer demographic characteristics and customer-based-brand equity | H3: Consumer demographic characteristics predict the customer-based-brand equity | Results partially supported and tended to accept |
| 4. The relationship among customer demographic characteristics, Starbucks and McDonald's, and customer-based-brand equity | H4: Customer demographics predict the customer-based-brand equity equally well for Starbucks and McDonald's | Results partially supported and tended to accept |

Conclusions

This research explored the effects of price and store image on customer-based brand equity, and differences among customer perceptions of two major retailers, attributed to price and store image. Specific conclusions to the research questions and hypotheses follow:

1. Store image and perception of price positively correlate with customer-based-brand equity.
2. Store image positively correlate with customer-based-brand equity equally well for Starbucks and McDonald's, but the perception of price was not significantly related

- to customer-based-brand equity. This supports the popular notion that Starbucks customers are YUPPIEs (young urban professionals), while McDonald's customers tend to be working class people.
3. Consumer demographic characteristics predict the customer-based-brand equity. This study showed that higher levels of education were associated with higher customer-based-brand equity. Higher customer-based-brand equity did vary based on gender.
 4. The hypothesis that customer demographics predict the customer-based-brand equity equally well for Starbucks and McDonald's was rejected. Higher academic GPA was associated with greater customer-based-brand equity for Starbucks, but not for McDonald's.

Grewal et al. (1998) asserted that consumers often based their buying decisions on impressions of price and store image. The results of this study imply that store image can add to brand equity, thus creating a sustainable competitive advantage for products and firms, while allowing them to charge premiums. Price usually is positively related to perception of quality; the study found that price was not significantly related to customer-based-brand equity in every retail operation. This was contradictory to Baldauf et al. (2009), but was supported by Yoo et al. (2000).

This study showed the importance of store image and other marketing variables in building strong brands. Strong brand equity has many positive implications for organizations—from more favorable response from consumers to larger margins, greater trade support, distribution channel leverage, brand loyalty, and increased marketing communication effectiveness (Keller, 2001). This study might carry an “inherent Western bias” of how Western cultures examine, interpret, and evaluate brands. Additional studies should examine cultures others than USA.

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Discussion Questions

1. Give your own personal definition of brand equity.
2. Of all experts' definitions of brand equity, which one you like most and why?
3. In 1993, the business media "announced the death of branding." Do you think it was justified? Why or why not?
4. Which brand equity measurement would you use if you had to measure brand equity?

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Applying the Stakeholder Model to Social Entrepreneurship – A Practitioner Approach

Justin Peart

and

Lisa Knowles

Abstract

A community development project in northern Haiti involving coffee farmers grew into a co-operative community engagement with widespread participation from the local community. A different area in northern Haiti witnessed the development of women artisans learning skills and increasing economic attainment, enabling them to afford schooling for their children. The partnership with an American institution of higher education afforded both students and faculty opportunities to assist these communities to further grow as well as provide real-life social entrepreneurial experiences and research gleaned by students. A SWOT (strengths, weaknesses, opportunities, and threats) analysis with stakeholder model applied to these community groups demonstrates a successful model with continuity for all stakeholders benefiting from the partnership.

Keywords: social entrepreneurship, entrepreneurship, stakeholder model, Haiti, intrapreneurship, higher education

Introduction

One of the most challenging tasks is sustaining social enterprise over the long term. Statistically, about 50% of traditional for-profit businesses fail within the first five years of their existence (United States Bureau of Labor Statistics, 2016). For social enterprises, where the highest priority is not profitability, but instead, the fostering of a worthy concept into a business activity that can positively impact society, the failure rate is likely to be even higher. Even with the most admired social advancement goals, one cannot overlook the importance of adequate

funding to establish the business and working capital. This scenario becomes exacerbating due to limited funding when the social enterprise is located in a lesser developed country mired in infrastructural deficiencies and other extreme environmental resource challenges.

This article examines challenges for a potentially successful social enterprise in Haiti, the poorest country in the Western hemisphere. This social enterprise began in 2008 as a partnership between an institution of higher education in the United States of America (U.S.), and a group of farmers and artisans in the Northwestern region of Haiti. It involves the establishment and strategic development of an organic coffee industry and artisan projects. The authors identify routes to overcoming these challenges, showing the value-added potential for the various stakeholders integral to sustainability for these nearly forgotten communities.

Background

Vinciguerra (2014), a leader in the field of community-based projects, shared in-depth background regarding the birth, growth, and establishment of specific ventures during the initial five-year period. The projects inspired the desire to deepen the relationship between an institution of higher education's religious affiliation, which happens to be based in a relatively wealthy, very advanced economy, and its sister organization operating in a nearby, lesser-developed nation. Despite the disparity in wealth, the intentional approach was one that emphasized a partnership of equals. Integral to the development were honor and mutual respect, frank open discussion of issues, and joint decision-making. This is contradictory to the influence wielding typical of an advanced economy (Vinciguerra, 2014). Project ideas came from the partners in the lesser-developed nation, given their knowledge of the local environment. This aspect of the project was instrumental as it provided the community leaders a chance to share needs from their perspective and fully identify skill sets available, infrastructure, challenges, and other essential information of which the other party would not necessarily be aware. These project ideas, with careful discussion and exploration, resulted in final decisions coming from joint agreement between both parties. This process resulted in the establishment and development of coffee and artisan projects (Vinciguerra, 2014).

Institutions of higher education have the dual purposes of educating and training people in both knowledge and technology necessary to pursue career paths that meet the demands of society. Antoncic and Hisrich (2003) refer to the concept of intrapreneurship as "entrepreneurship within an existing organization" (p. 9). Therefore, intrapreneurship is "employees using their creative talents to develop new products or services, or both, to enhance their organization" (Gringarten, Knowles, Fernández-Calienes, & Grandmont-Garibold, 2011). The partnership with the institution of higher education and community-based engagement is an intrapreneurial endeavor from the perspective of the institution of higher education.

The SWOT (strengths, weaknesses, opportunities, and threats) analysis technique examines how these projects have evolved since the Vinciguerra's (2014) seminal publication. This detailed review of SWOT, and how they relate to each project follows. Prospective direction for sustainability and suggestions to continue the project follow, tied to the stakeholder model.

SWOT of Social Enterprise in Lesser-Developed Nation

Since 2014, a number of obstacles arose and continue that potentially could push desired developments of these fragile social enterprises off track, which is not unusual for a typical social enterprise. Problems arising in these projects include poor crop yields (quality, or quantity, or both); land ownership dispute, unstable market demand to match supply of artisans' crafts, logistics problems, limitations in funding, and personnel challenges. Separate SWOT analyses of the coffee and artisan projects follow.

Coffee

The most prominent strength in the coffee project is the worldwide recognition of high quality Haitian coffee. The quality highlights include great taste, organically grown, and highly in-demand by coffee aficionados. The reputation of Haitian coffee stands on a rich heritage. The unique benefit originates from the soil found at high elevations resulting in a rich, unique, highly flavored bean (Carmichael, 2011). The traditional dry method used for processing also increases the tartness of the coffee. The institution of higher education provided additional strength to the coffee project because its students, faculty, and staff volunteered on a seasonal basis to market the coffee via sales at churches and schools, family and friends, and occasionally in stores.

An exasperating weakness lies in the production levels that may not always meet increasing demand. Methods of reaping, drying, and processing are still rudimentary, resulting in possible damage to some beans. Although the coffee is in demand, there are challenges in procuring adequate amounts from Haitian farmers and shipping the product to the United States of America consistently. Consequently, at least one major commercial buyer no longer lists the Haitian coffee on its menu, although willingly sells it when available. Limited availability has also resulted in the inconsistent promotion for online purchase of Haitian coffee.

Lack of irrigation and proper infrastructure to take care of the plant during the extended dry season poses a major problem due to the health of the plants and attached fruit. On the contrary, the wet season leads to other problems due to inadequate drainage and in extreme cases, land slippage. Limited access to pest control facilities is also a challenge, especially with the constant threat of the coffee beetle borer.

As with most social enterprises, access to adequate funding for long term development is quite difficult to attain, especially when a project is not 100% self-sustaining. There is a shortage of adequate funding for equipment, supplies, and wage compensation in Haiti. Limited funding also contributes to a dearth in leadership, and training in required functional areas, such as crop management, business management, and accounting.

Opportunities lie in the potential development of the coffee brand, providing growth opportunities for the gourmet organic fair trade coffee. The U.S. market – where increasingly conscious customers are willing to pay higher prices for coffee that meets specific criteria with respect to growth, reaping, and processing – provides great potential for connoisseurs of fine coffee. Goodwill toward Haiti is also a strong selling point, as people aware of the devastating poverty will sometimes make purchases, knowing they are contributing toward helping to improve the critical situation.

Threats are inevitable, with poor crop yields due to hurricanes or storms, and consequential challenges that cause coffee berries to detach prematurely from trees before

ripening. This is perhaps the greatest threat having a negative impact on the livelihoods of the farmers, who depend on coffee farming as their main source of income to maintain their families. Reaping lower levels of mature coffee beans means less income for the farmers and their families.

An issue that has plagued the farmers for some time is the coffee borer beetle. This insect reduces the quality of the coffee bean, causing bean loss. Unpredictable weather conditions, such as too much or too little rain, also may have an impact the quality of the final product.

Another threat arose over a recent land ownership dispute that caused a devastating negative impact on the overall Haitian operations. Ownership of recently purchased land for the construction of an office, coffee storage, and processing facility is the focus by someone else claiming to own the land, although the seller had already presented proof of ownership. There appear to have been discrepancies regarding the genuine landowner. Haiti has no central land ownership database, making it very difficult to establish ownership. The judicial system is also extremely slow; therefore, it may be many years before resolution. This unfortunate turn of events aggravates the fact that the construction project had already begun.

Artisans

One of the strengths of the skilled artisans is they are more than willing to work in order to make products for the United States market, where payment is higher for their products than what they could earn in the Haitian marketplace. A committed work ethic demonstrates the desire for those in the community to find meaningful career paths and provide for their families. A second strength is the existing reputation of Haiti for affordable, good quality, colorful artwork over the years, innovatively making use of the limited resources and available discarded products (McFadden, 2016).

Logistics remains an enduring weakness especially since the artisan project is located in a rather remote northwestern area with challenging road conditions. This makes the inflow of raw materials and the outflow of finished products to market a continual challenge.

Another concern is the procurement of reasonably priced raw materials. Generally, some supplies may be difficult to find in Haiti or are more expensive, so needed materials at relatively low cost continue to pose a challenge.

Artisan work faces similar challenges regarding easily accessible finished products to match market demand. There is no consistent source (offline or online) from whom one can purchase the products in the United States of America. The challenge of consistent and adequate project funding makes it difficult to continue a consistent growth trajectory. Student groups cannot always be as actively involved in the projects due to their inability to visit the production sites as previous funding needs new donors and pipelines.

A major opportunity remains in the production of customized pieces. Reaching markets for desirable products in small quantities of unique handcrafts places a premium on the products themselves. Haitian art, with worldwide recognition for its unique vibrancy and use of bright colors (McFadden, 2016), is fast becoming marketable.

Threatening the artisan projects is the concern of unstable market demand. Finding customers in the U.S. has proven to be challenging. Chinese and other mass production alternatives constantly undermine small production capabilities existent in small, less developed countries.

As with most social enterprises, access to adequate funding for long-term development is quite difficult, especially when a project is not self-sustaining. There arises inconsistent funding availability for equipment, supplies, and compensation of personnel in Haiti.

Stakeholders: Institution of Higher Education and Haitian Community

The stakeholder model, typically applies in a business environment, identifies exactly who has a stake in seeing the success of a business, with the organization as the center. Primary stakeholders in a business environment include the business principals, clients, management and employees, communities and governments (Steiner & Steiner, 2006, pp. 16-17). Secondary stakeholders, though impacted to a lesser degree, remain cognizant of the organization's development, sustainability, and growth. Secondary stakeholders may include educational and religious institutions, political parties and interest groups, trade associations, unions, creditors, suppliers, and even the natural environment and future generations (ibid, p. 17). Figure 1 below illustrates primary stakeholders in accordance with Steiner and Steiner's (2006) Stakeholder Model.

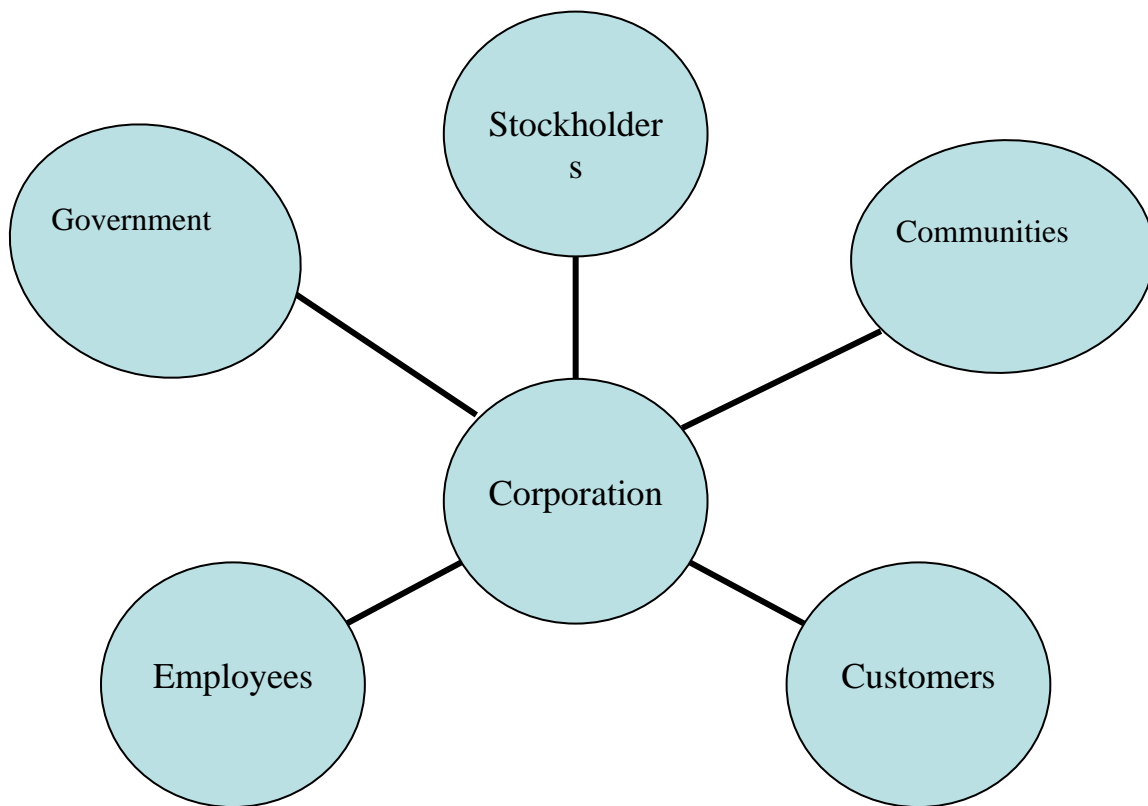


Figure 1. Stakeholder model.

Daft (2015) provides a business stakeholder model with the functioning organization in the center. The functioning organization is a three-part process that includes the inputs (raw materials, people, information, and financial resources); proceeds into a transformation process, that is, what the organization actually does or performs; and outputs follow, which represent some product or service (p. 14).

The full-scale stakeholder model consists of the functioning organization hub with spokes that include employees, customers, creditors, management, government, union, community, suppliers, owners, and stockholders (ibid, p. 24). Clearly, each of the spokes on the stakeholder wheel have a vested interest in seeing the organization continue to perform, maintain sustainability, and grow as their existence depends upon the functioning organization.

A theoretical application uses the stakeholder model, typically describing organizations, and is applicable to social-entrepreneurial, Haitian community-based engagement projects. This article further develops the stakeholder theoretical approach for the Haitian community-based project. This stakeholder model helps identify the various parties who participate and actually benefit from this long distance relationship between the institution of higher education and the Haitian community groups: artisans, coffee growers, solar energy project participants, and future community-driven endeavors. Taking the concept of the stakeholder model and applying it to the unique community-education partnership, with the Haitian community as the center of the model, both community and university stakeholders emerge.

University Stakeholders

For the university, the main beneficiaries include students, faculty, special departments that may participate directly within the institution of higher education, and the institution as a whole. In addition, the institution's branding embraces a wider reach. Stakeholder benefits identify each of the university's groups.

Students

Student beneficiaries are first and foremost the most prevalent with priority as the university seeks to "develop leaders for life" through its degree programs. Students from all majors stand to benefit. Business majors opt to develop marketing opportunities or help develop other aspects of the supply chain. Science majors employ state-of-the-art technology for solar energy solutions, while biology, environmental, and natural sciences majors seek new ways to improve the coffee crop or other environmental needs. Education and communication majors provide doors for second language learners and community-based lifelong learning opportunities. Theology majors glean from seeing the how church-impacted communities depend upon their religious institutions while witnessing the effectiveness of their community efforts and even the power of prayer as evidence in the improved lives of individuals in the overall community. Law school students gain access with opportunities to produce contracts and other legal documents that evolve with the partnership's growth.

Student experiences range from working with community development, entrepreneurship, and social enterprise projects while developing and applying skills with problem solving opportunities that apply to real life situations. Thus, the students' learning experiences themselves provide deeper participation and understanding of their educational worth throughout

their studies at the university. Placing real-world problems while seeking solutions and developing processes to do so, is an invaluable educational learning experience highly suitable to students in higher education.

Student participation in research projects gleans application while synthesizing learning opportunities. Student research further benefits the institution of higher education, with theoretical application to students' real-life situations and experiences. These student experiences bring value to the institution of higher education for being a social entrepreneurial encouraging institution for both faculty and students. This may create a completely new branding to incentivize future students.

Faculty

Faculty opportunities range from integrating subject matter, research projects, and real-life problem-solving activities designed for student learning and engagement. In addition, faculty obtain opportunity to research, publish, and be on the team helping grow students in social entrepreneurship activities. The valuable connections in the real world bring to life the theoretical dimensions so prevalent in higher education today. Bringing the world to the students makes it more valuable for both the learners and faculty who design these learning experiences in preparation for tomorrow's decision-makers and leaders.

An Institute for Innovation and Entrepreneurship

The institution of higher education is launching a new state-of-the-art building, slated for opening in late 2019. An institute for innovation and entrepreneurship has potential to tackle real-world challenges and will have a place in the new facility. Scenarios for the Haitian community projects to work toward discovering solutions offer real-world value to students. An institute for innovation and entrepreneurship has the potential to become an incubator for growing community-based entrepreneurial projects. In addition, other institutions of higher education may emulate this model for developing their projects.

A natural growth from a community-based engagement foundation is the need to employ more advanced business skills as the community-based projects evolve. Knowledge, networks, and skills involved, such as growing a market or developing efficiencies in the supply chain, make this type of project a unique experience for students and faculty within the entire institution of higher education.

Launching a multidisciplinary approach welcomes other subject disciplines into a center for innovation and entrepreneurship that draws from the strengths of other disciplines within the institution of higher education. Helping science projects find a market or finding ways to raise capital can now become a more holistic learning experience for students and faculty alike – all while helping those in difficult life circumstances. A multidisciplinary approach provides the institution of higher education working toward real world solutions that, in turn, will benefit the Haitian community with teams from a deeper knowledge-value base.

Institution of Higher Education

We carve out a distinct niche with a strategic South Florida location due to convenient geographical proximity to Haiti. Culturally, we have much in common, as many expatriates in the South Florida area have Haitian connections. The institution of higher education has an opportunity to brand itself in a unique way to become a leader in social entrepreneurship, a new strength opportunity in a forward SWOT analysis.

Haitian Community Stakeholders

For the Haitian community, beneficiaries include the actual participants in the projects. Initially, that includes coffee growers, artisans, and their families. As families grow into greater self-sufficiencies, the community as a whole grows in ways that prompt future initiatives. These close-knit communities have the opportunity to continue to help each other grow once they learn the processes of becoming a bit more self-sustaining, making them organically-generated. Community growth leads to greater economic potential such as tourism products, or fishing and boating opportunities. Growth of various projects has the potential to lead to improved infrastructure, which in turn, may help influence greater sustainability for coffee producers. Wider community-based needs, such as improved educational institutions, grow as the economic vitality of the community expands.

Basic economic growth has exponential opportunity as the communities continue to apply lessons learned while developing their markets and network. Cultural fusions may erupt as traditional ways yield to sound economic direction for individual and community growth.

Haitian stakeholders start small with individuals and their families, quickly branching out to the wider community bringing about a surge in education, transportation infrastructure development, and overall community moving forward. A transformational change starting in the grassroots, northern separated communities has the potential to ignite real change in this impoverished nation. The model starts with its people, brings about only those needs they define that require outsiders' help only until they become strong enough to sustain themselves in the global village, for which they have much to contribute.

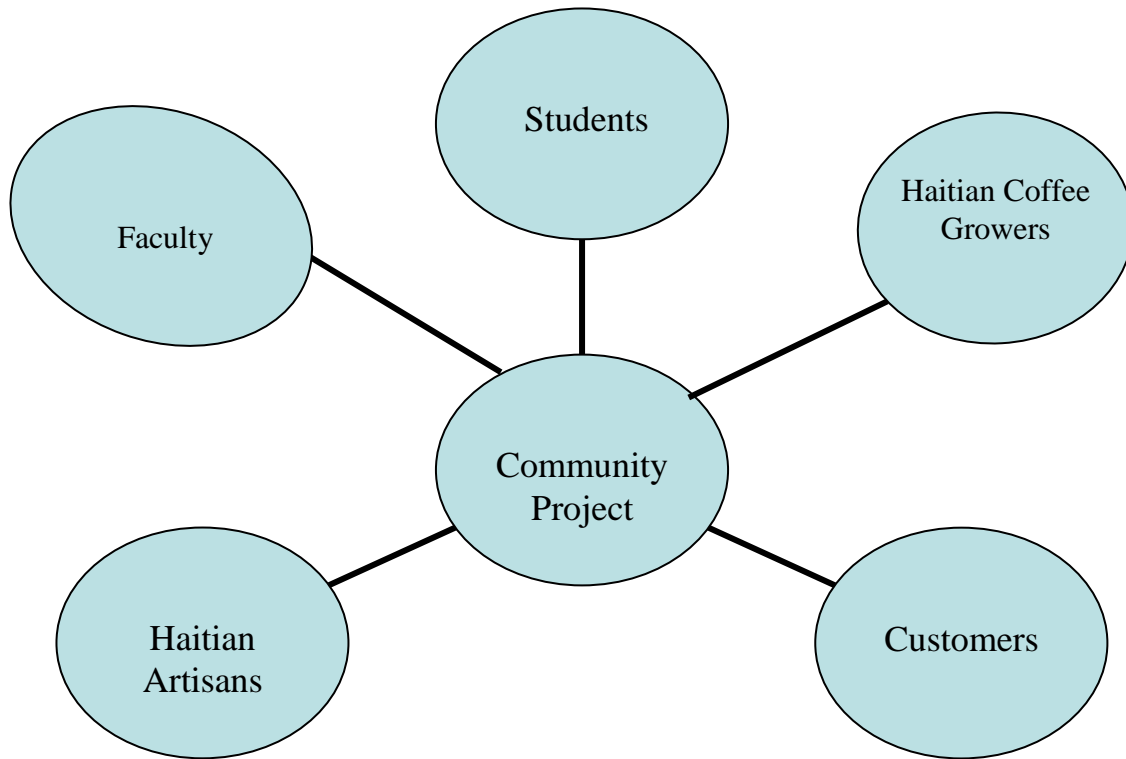


Figure 2. Community-based stakeholder model.

Discussion

The dire situation in Haiti has been a wound for humanity for far too long. Developed nations that have made our creature comforts such as we see in the 21st century should be all the more cognizant toward our fellow human beings still struggling just to feed themselves and their families. Community-based projects that help the communities identify and develop their own ways of becoming sustainable are most valuable when they receive the assistance they themselves have identified in trusted relationships with enterprises that seek to provide assistance, not on their terms, but on those the community desires. An institution of higher education working in social enterprise projects has demonstrated slow but steady progress for communities to grow themselves organically. After sorting out the specific strengths, weaknesses, opportunities, and threats, a stakeholder model approach reveals just how many actually can benefit from these social-entrepreneurial, community-based projects bringing students, faculty, and people in need together in a way that all benefit while gaining self-efficacy as a result of putting their learned efforts into play. An intrapreneurial product, such as this social enterprise, becomes a branding enhancement for the institution of higher education (Gringarten,

et al., 2011). The key here was establishing a sustainable relationship between an institution of higher education community engagement team and viable Haitian community leaders.

Conclusion

This article highlights community-based projects established in a lesser-developed nation in conjunction with an institution of higher education. An in-depth analysis identifying strengths, weaknesses, opportunities, and threats applies to the community-based project. The traditional stakeholder model describes and illustrates beneficiaries. Application of the stakeholder model to the community-based projects and institution of higher education provides a renewed perspective of beneficiaries on both sides of the social enterprise. The combined stakeholder benefits for both the institution of higher education and those in the community-based projects reveals that support for this continued partnership grows as the community evolves with both entities moving forward. A successful intrapreneurial project meeting community needs while utilizing the proficiencies of an institution of higher education create a true win-win scenario for all stakeholders.

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Justin Peart, Ph.D. (jpeart@stu.edu), is an Associate Professor of Marketing at St. Thomas University. Dr. Peart has travelled to Haiti a number of times as part of an immersion team comprised of students, faculty, and staff of the university partner. He has witnessed firsthand the extreme courage and determination of Haitian partners as they try to beat overwhelming odds in order to succeed in various small business projects. The most challenging of these obstacles to progress include extremely poor infrastructure and ineffective political governance regarding the welfare of average Haitian citizens.

Lisa Knowles, Ph.D. (lknowles@stu.edu), is an Associate Professor of Management at St. Thomas University. She too has traveled to Haiti to witness the projects first-hand. Her research interests include the recreation marine industry, entrepreneurship, intrapreneurship, organizational behavior, and organizational culture.

Discussion Questions

1. What strategic approaches should non-governmental organizations (NGOs) use to develop sustainable projects that foster long-term improvements in Haiti's standard of living?
2. How can stakeholders in developed countries collaborate with lesser-developed nations to develop markets efficiently for goods from these lesser-developed countries that meet developed countries' discriminating tastes and legal requirements?
3. Can you think of other ways that applying the stakeholder model benefits those it serves? What are they?
4. Are there any areas the stakeholder model demonstrates that may actually not serve those it seeks to benefit? What are they?

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“Albino Peacock”

Photograph by Scott Gillig.

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Beijing Brilliance: Potent Practices and Profound Principles for Language Learning and Leadership

Bradley Thomas Nitschneider

Abstract

English is the lingua franca of the 21st century; English is used pervasively in education, commerce, entertainment, and other forms of communication locally and globally (Chen, 2012; Lai, 2014). This research study investigated the perceptions of teachers of English about the most effective Content and Language Integrated Learning (CLIL) practices used with Chinese students who were learning English. This study addressed a longstanding educational issue—how to teach effectively—in the context of learning English in a bilingual school in Beijing. Nine teacher participants filled out a comprehensive survey about effective CLIL practices; four teacher interviews provided data triangulation. The specific findings showed giving presentations to be the most effective CLIL practice, and lecturing to be the least effective. The general findings showed four key components of effective teaching: (1) making connections, (2) staying student-centered, (3) integrating content and language outcomes, and (4) creating specific learning objectives. This research study offered practical knowledge about effective teaching practices as well as providing general teaching principles that could apply successfully to business organizations and other educational contexts globally.

Keywords: Content and Language Integrated Learning (CLIL), effectiveness, effective teaching, teaching practices, lingua franca, bilingual

Introduction

In the 21st century, English is the worldwide link language used most often in communication among people who speak multiple languages in both local and global contexts (Chen, 2012; Lai, 2014). English is an important international language—used as a lingua franca—in many domains such as politics, business, education, and entertainment. Because of the pervasive use of English around the globe, the demand for speakers who use English proficiently is necessary for successful communication in countries all over the globe for a variety of practical purposes, such as doing business internationally and getting a globally relevant education (Khamkhien, 2010). The main problem with the use of English as a lingua franca in an international educational context concerns how to teach English effectively.

Scholarly debate about the most effective ways to teach English and how to acquire a foreign language in an international context has occurred for more than 50 years (e.g., Butler, 2015; Coyle, Hood, & Marsh, 2010; Dalton-Puffer, 2011; Liu, 2008; Serrano & Miralpeix, 2013). For example, the issue of the effectiveness of Content and Language Integrated Learning (CLIL) practices was subject to extensive research throughout Europe at the university level, but not in an Asian context, or below a university level in Europe or Asia (e.g., Cheng & Cheng, 2012; Corcoran, 2016; De Diezmas, 2016; Goodman, 2014; Hu & Lei, 2014; Vázquez, 2014; Yu & Xiao, 2013). David Marsh coined CLIL in 1994 as an acronym for Content and Language Integrated Learning (Coyle, Hood, & Marsh, 2010).

CLIL is a methodology of teaching in which subject matter content and a foreign language are learned simultaneously through a foreign language rather than in a student's native language (Coyle, Hood, & Marsh, 2010; Muñoz-Luna, 2014). Differing from bilingual education and Content-Based Instruction (CBI), CLIL has these unique aspects: (1) CLIL focuses on using a foreign language (L2) or a lingua franca to teach subject matter content; (2) students encounter L2 primarily in the classroom, since L2 is not used often in the wider society in which students live; (3) the dominant CLIL language is English, reflecting the fact that a command of English as an additional language is increasingly regarded as a key literacy feature worldwide; (4) CLIL Pedagogy and CLIL practices are usually implemented after students have already acquired literacy skills in their first language (L1); (5) CLIL lessons typically prioritize content matter objectives over language learning objectives; and (6) CLIL teachers are often native English speakers and content specialists rather than foreign-language specialists (Brinton, Snow, & Wesche, 2008; Dalton-Puffer & Smit, 2013; García, 2009; Hornberger, 2008).

The use of CLIL pedagogy has become an important educational intervention and innovation that the Chinese government has encouraged schools to implement, beginning as early as possible, to increase the English language proficiency of Chinese students (Chinese Ministry of Education, 2011; Hoare, 2010; Hu, 2005; Kong & Hoare, 2012). For example, one of the few studies conducted with Chinese middle school students noted that "in both Hong Kong and Mainland China, English proficiency is a critical factor in the academic progression of students in education systems in which university space is limited" (Kong & Hoare, 2012, p. 89). To benefit the Chinese students enrolled at Hyde Academy, this study investigated how the English language proficiency of Hyde Academy students was advancing (or not) through the implementation of the most effective CLIL practices.

Background, Rationale, and Purposes

The background of the research problem about the effective use of CLIL pedagogy is this: CLIL has become a common practice in European higher educational institutions and has not yet been widely studied in other international contexts, such as China (Cheng & Cheng, 2012). Most studies occurred at the university level in European countries, especially Spain (Ament & Pérez-Vidal, 2015; Ravelo, 2014; Serrano & Miralpeix, 2013; Vázquez, 2014; Yilmaz & Seker, 2013). To date (May, 2018) there have been very few research studies that have looked at CLIL use in China in general, and at the primary and secondary school levels in China in particular (Cheng & Cheng, 2012; Hu & Lei, 2014).

The rationale of this research study was to examine effective CLIL pedagogy use in a Chinese context. This research study explored how effectively English language was being

taught using CLIL practices at Hyde Academy, a private K-9 bilingual school located in Beijing, China. Research in the field of CLIL and English as a Second Language (ESL) education in East Asia “is a relatively new area of empirical inquiry, and it has the potential to make significant contributions to child second-language acquisition theory building, research methodologies, and policies in East Asia and beyond” (Butler, 2015, p. 303). Using a unique context—a K-9 bilingual school in China—for this research study provided findings that identified the most effective CLIL practices, which could be of great value to the international educational community as well as serving the purpose of filling the void in educational research about the effectiveness of CLIL pedagogy and CLIL practices in these two understudied contexts: (1) China, and (2) primary and secondary school levels (grades 1-12).

The primary purpose of this research study was to investigate how effectively teachers used CLIL-based practices at Hyde Academy. A secondary purpose of this research study was to analyze the perceptions of Hyde Academy teachers to discover what essential elements contributed to the effectiveness of CLIL practices. Three research questions examined the effectiveness of CLIL practices—based on the perceptions of teacher participants: (1) How effective are the CLIL practices being used at Hyde Academy? (2) What are the most effective CLIL practices? (3) What are the least effective CLIL practices?

The ultimate purpose of this research study was to identify the most effective CLIL practices. Investigating effective CLIL practices positively contributed to the development of educational leadership of the teaching staff at Hyde Academy. The research findings of this study could potentially apply to other organizational contexts, such as a business or a public school for the purposes of improving business training programs or optimizing student achievement through exemplary teaching practices.

Educational Leadership in Learning Organizations

This research study was significant with respect to contributing to educational leadership. Educational leaders in learning organizations work to solve problems in ways that research supports (Easley & Tulowitzki, 2013; Senge, 2006; Stoll, 2013; Wen, 2014). This study implemented action research methodology. The entire action research process encouraged the collective improvement of teachers and students as a collaborative team of leaders. Action research was the optimal choice to use for two primary reasons: (1) action research is investigative and explorative in nature, with a goal of improving teaching and learning; and (2) action research methods align well with research questions, problems, and purposes of educational research (Branch, 2009; Hsu, Lee-Hsieh, Turton, & Cheng, 2014; Shibley, Amaral, Shank, & Shibley, 2011). In addition, very few of the studies examined for the literature review of this research study employed action research processes. Effective leaders in learning organizations promote and spearhead a systematic process of reflection, evaluation, analysis, and strategic action—leading to improvement and improving overall effectiveness (Senge, 2006).

Defining Effectiveness

In addition to using three primary research questions to guide this study, this researcher also asked the teacher participants to explain for themselves the meaning of the idea of effectiveness. It would be a mistake in reasoning and a shortcoming of this researcher to assume

that all teacher participants shared the same understanding of the meaning of effectiveness. One of the foundational principles of conducting empirical research—both qualitative and quantitative—is to conceptualize, operationalize, and measure variables and terms so they are less ambiguous and others understand them more clearly (Babbie, 2016; Bericat, 2014; Onen, 2016; Paik, 2016; Yin, 2009). Since the primary purpose of this qualitative action research study was to identify the most effective CLIL teaching practices (as teacher participants perceive them), it was logical and necessary to provide participants with an opportunity to describe the meaning of effectiveness to establish a clear and common understanding through analyzing their responses.

Although the exact content of participant responses to the effectiveness question varied, the nominal theme was that effectiveness meant *achieving a desired result successfully* (emphasis added). The teacher determined that desired result—whether it was in the form of meeting a goal or an objective—in advance through lesson planning. In the lesson planning process, teachers selected specific and measurable objectives, outcomes, or goals as a guide for choosing relevant activities and exercises that will achieve those desired results. One example of a linguistic objective is this: Students will be able to read and identify present tense verbs. To ensure effectiveness and success, a teacher would select teaching activities and exercises that supported students in identifying different types of verbs in the lesson planning process. An effective lesson would be one in which the majority of students identified present tense verbs by the end of the lesson, given that effectiveness meant achieving a desired result (e.g., accomplishing a specific teaching objective) successfully.

Review of the Literature

The debate about the effectiveness of CLIL pedagogy was thoroughly investigated in this literature review vis-à-vis the research problem: the argument that the CLIL model being used pervasively in educational institutions was not an optimally effective model of instruction. As noted earlier, CLIL practices that higher educational institutions throughout Europe have investigated have shown in many studies to be consistently ineffective (e.g., Ament & Pérez-Vidal, 2015; Chapple, 2015; Yu & Xiao, 2013). A meta-analysis of the literature done for this study showed two primary reasons that CLIL practices were shown to be ineffective: (1) CLIL methods were vague; and (2) CLIL pedagogy attempted to accomplish too many mixed objectives—content and language—simultaneously (e.g., Chan, 2000; Chapple, 2015; Goodman, 2014; Lai, 2014; Ravelo, 2014; Serrano & Miralpeix, 2013; Xanthou, 2011).

This study's literature review included information gathered from current (2012 to 2017) peer-reviewed articles published in scholarly journals as well as relevant information from seminal literature about CLIL pedagogy and its theoretical framework of constructivism. This literature review investigated and analyzed more than 300 different sources about CLIL and CLIL-related topics, the majority from current (2012-2017) peer-reviewed journals.

This literature review investigated the effectiveness of CLIL practices through the lens of meeting linguistic and content outcomes simultaneously, thus addressing the argument that CLIL pedagogy is minimally effective (e.g., Ament & Pérez-Vidal, 2015; Chan, 2000; Chapple, 2015; Dalton-Puffer, 2011; Kong & Hoare, 2012; Lai, 2014; Ravelo, 2014; Xanthou, 2011). The issue of the effectiveness of CLIL pedagogy has been subject to much debate in scholarly research studies (e.g., Chan, 2000; Chapple, 2015; Dalton-Puffer & Smit, 2013; Kong & Hoare, 2012;

Lai, 2014; Ravelo, 2014; Xanthou, 2011). This research study thoroughly examined and analyzed that debate as well as the background of the problem of CLIL's overall effectiveness.

The four primary arguments about the effectiveness of CLIL pedagogy revealed in the research for the literature review of this study were the following: (1) CLIL pedagogy was vague and not well-articulated; (2) CLIL practices attempted to accomplish too many mixed objectives—in content and language—simultaneously; (3) there was a lack of appropriate teacher training in CLIL pedagogy, and (4) there were difficulties in the assessment of CLIL effectiveness (e.g., Ament & Pérez-Vidal, 2015; Chapple, 2015; Goodman, 2014; Ravelo, 2014; Serrano & Miralpeix, 2013; Thuy, 2016). However, most research studies examined for this literature review found that CLIL pedagogy was indeed an effective means to learn content matter and a foreign language (e.g., Dalton-Puffer, 2011; Foley, 2014; Hu & Lei, 2014; Satilmis, Yakup, Selim, & Aybarsha, 2015; Shen & Xu, 2015; Xanthou, 2011; Xu, 2015; Yang & Dai, 2012).

A common theme in a critical analysis of the literature that examined the effectiveness of teachers who use CLIL pedagogy—as in the Ravelo (2014) and Thuy (2016) studies—was that teachers who used CLIL pedagogy were not adequately prepared to teach subject content and a foreign language simultaneously, especially with respect to having clear and specific teaching objectives (Ament & Pérez-Vidal, 2015; Chan, 2000; Chapple, 2015; Dalton-Puffer, 2011; Kong & Hoare, 2012; Lai, 2014; Ravelo, 2014; Thuy, 2016; Xanthou, 2011). This author's research study directly investigated the relationship between teacher perceptions of CLIL practice effectiveness and having clear content and language objectives.

Effective CLIL teaching practices are methods and activities that are successful in terms of meeting explicit language and content matter outcomes, goals, or objectives (De Diezmas, 2016; Hu & Lei, 2014; Shen & Xu, 2015; Vázquez, 2014; Xu, 2015; Yang & Dai, 2012). To assess the effectiveness of CLIL practices, it was imperative to examine if teachers wrote explicit linguistic and content outcomes (their lesson plans reflect) as a part of their teaching practices. CLIL pedagogy combines both types of outcomes—linguistic and content—into specific teaching practices based upon specific teaching objectives.

Findings from researchers who claimed CLIL to be ineffective (e.g., Chapple, 2015) and those who claimed CLIL to be effective (e.g., Shen & Xu, 2015) agreed that CLIL effectiveness was based to a large degree on having particular types of teaching practices. For example, Chapple (2015) challenged the commonly accepted idea that taking a content class taught in English (CLIL model) would lead to substantial linguistic gains; Chapple's findings revealed no such gains. Other studies (e.g., Dalton-Puffer, 2011; Hu & Lei, 2014; Satilmis, Yakup, Selim, & Aybarsha, 2015; Vázquez, 2014) supported the majority view in the literature that linguistic outcomes were successfully achieved using CLIL pedagogy and CLIL practices.

Patterns Revealed in the Literature

One of the patterns in the analysis of CLIL literature was that using CLIL pedagogy was particularly effective in terms of meeting content outcomes. Another pattern revealed in this researcher's meta-analysis of the literature on CLIL effectiveness was a positive correlation connecting these two variables: (1) the specificity of instructional objectives (content or linguistic), and (2) the effectiveness of meeting those specific objectives using CLIL pedagogy and CLIL practices. For example, when participants in a research study focused upon achieving a

specific linguistic objective, it was likely for that linguistic objective to be achieved using CLIL practices. When a specific content objective was being studied, it was likely for that content objective to be achieved using CLIL practices as well. Conversely, patterns in the research literature showed that having unspecific or vague learning objectives correlated with low teaching effectiveness. In terms of using CLIL pedagogy and CLIL practices effectively, research on both sides of the CLIL effectiveness debate agreed that teaching effectiveness could improve from the teaching practice of forming clear and precise learning outcomes (i.e., having specific foreign language or subject content objectives). This research study directly addressed this contention through its instrumentation, as discussion shows further in the Instrumentation section and in the Research Findings and Discussion section of this article.

Theoretical Background

CLIL pedagogy and CLIL practices resulted from pedagogical evolution concerning the need to teach foreign language and content instruction together (Muñoz-Luna, 2014). For a student to understand subject content in a second language (L2), it is essential that the student actively make meaning of the subject matter. One of the primary tenets of the theory of constructivism is that learners are more likely to make meaning of language and information through actively engaging in complex and contextualized learning processes (Muñoz-Luna, 2014; Shapiro, 2011; Vygotsky, 1962; Vygotsky, 1978).

The main construct assumptions of CLIL according to Muñoz-Luna (2014) are that CLIL pedagogy combines “disciplinary and language contents to create more meaningful contexts. From a linguistic perspective, CLIL is the natural consequence of true contextualization in L2 classrooms, coming as a result of a necessary evolution in foreign language teaching” (p. 168). The main proposition that follows CLIL assumptions is that it is beneficial to practice teaching a foreign language and teaching subject area content simultaneously, as each informs the other through meaningful contextualization. The fundamental proposition connecting meaning making and contextualization formed the primary ideological basis of inquiry for this research study and is a primary tenet of constructivist theory (Levykh, 2008; Liu & Chen, 2010; Shapiro, 2011; Vygotsky, 1962; Vygotsky, 1978).

Another premise of CLIL pedagogy is that L2 is better developed through instruction about subject matter in L2 than in L1 (a student’s primary language) because of the enriched social context of a multilingual classroom compared with the less enriched context of a monolingual classroom (Lin, 2015). The seminal theory that supports that premise is constructivism. Constructivist theory—drawn from the work of writers, teachers, and developmental psychologists including Jean Piaget, John Dewey, Maria Montessori, Lev Vygotsky, and Jerome Bruner (Cheng & Cheng, 2012; Lin, 2015)—posits that knowledge is constructed actively, not passively, in a learner’s mind through a highly interactive, complex, and engaging social context, such as a classroom.

The assumptions and propositions of constructivism—such as the idea that “language acquisition provides a paradigm for (explaining) the relationship between learning and development of mental processes stimulated by the course of school learning” (Vygotsky, 1978, p. 90)—aligned logically with this research study about the effectiveness of CLIL practices within a classroom context. The research methods, design, and instrumentation of this study were

in alignment with a constructivist framework and its tenets, premises, assumptions, and propositions.

Research Method, Design, Population, and Instrumentation

A qualitative research method was selected over a quantitative research method for this study because qualitative methods focus on using non-numerical data (e.g., semantic patterns and themes) to answer research questions with depth and detail (Keegan, 2012; Long-Sutehall, Sque, & Addington-Hall, 2010; Smythe & Giddings, 2007). According to Dobrovolny and Fuentes (2008), researchers who employ quantitative methods develop assumptions or hypotheses prior to collecting data. In contrast, the purpose of qualitative research is to determine if certain assumptions and perceptions support the data (Rose & Lennerholt, 2017; Yin, 2009).

Research Design

This research study was more likely to succeed if it flowed in a systematic manner within a specific organizational framework, especially because many iterative and reiterative steps were involved in the entire action research process. The ADDIE Model provided a reliable and valid framework since it has been used pervasively in action research and instructional design (Onguko, Jepchumba, & Gaceri, 2013; Spector, Johnson, & Young, 2014). The ADDIE Model's reliability and validity were key features that helped to realize the purpose of this study—to identify the most effective practices of CLIL.

Research Population

Keegan (2012) noted that qualitative research consists of purposefully selecting specific individuals based on their backgrounds and experiences. Qualitative studies require only a small number of participants before identifying consistent themes. It is a common practice in qualitative research to use purposive sampling of about ten participants to conduct studies to enhance validity and reach data saturation (Hu & Lei, 2014; Yin, 2009). For this research study, this researcher selected a group of nine teachers to examine their perceptions about CLIL practice effectiveness. This researcher selected this sample of teachers on the basis that they wanted to participate. Also, these teachers were the most knowledgeable, appropriate, and relevant sample to select with respect to the focus of this study because these teachers were the ones using CLIL teaching practices daily. The demographic characteristics of the participants were the following: female and male in gender; Caucasian, Chinese, and Black in ethnicity; 25 to 55 years in age; college degree holders; in good to excellent health; and at a mid-level socioeconomic status (earning about ¥20,000 RMB per month, which is equivalent to about \$3,000 USD) as professional ESL teachers. This researcher used a comprehensive data analytic metric that examined data gathered from interviews and a survey instrument created to measure CLIL practice effectiveness. This researcher analyzed the data to uncover significant patterns and themes.

Instrumentation

This researcher devised and implemented a survey instrument named the Teacher Questionnaire and Interview Form (see Appendix A: TQIF Survey Instrument) and conducted interviews to use as the primary data sources. Semi-structured interview questions were the same three research questions (RQ) that guided this research study to keep the data gathered manageable and to increase internal validity. The three research questions were the following—RQ 1: How effective are the CLIL practices being used at Hyde Academy? RQ 2: What are the most effective CLIL practices? RQ 3: What are the least effective CLIL practices?

The TQIF served an important dual purpose of iteration and reiteration. Firstly, the TQIF responses revealed important research content about what teachers perceived to be the most effective and least effective CLIL practices. Secondly, the content described on the TQIF provided a conversational springboard that guided the subsequent semi-structured interviews with the teacher participants. This combined data (first written on the TQIF and then further articulated, substantiated, and developed via the teacher participant interviews) was analyzed to categorize themes noting which CLIL practices were the most effective, according to teacher perceptions. This researcher also combined the use of NVivo software analysis (e.g., word frequency queries) along with anecdotal notes, and reflective notes written by hand (or in Microsoft Word's Insert Comment reviewing option) to provide a comprehensive data analytic metric (Ackel-Eisnack & Müller, 2012; Chenail, 2012; Fielding, 2012; Legewie, 2013; QSR International, 2015).

The primary purpose of the TQIF was to measure clearly, accurately, and thoroughly the effectiveness of CLIL practices through analysis of participant responses to the TQIF. This researcher ordered each of the questions on the TQIF sequentially so the participants could develop a comprehensive narrative about CLIL effectiveness with each subsequent question.

Research Findings and Discussion

The Research question organizes the research findings that follow and include summaries of the findings, rather than an in-depth analysis of the findings. If the reader would like to have more detailed and descriptive information about the research findings or any other aspect of this research study, please contact the researcher at the e-mail address provided in the About the Author section following the References section of this article.

RQ 1: How Effective are the CLIL Practices Being Used at Hyde Academy?

The findings from data analysis of the TQIF responses and the participant interviews regarding RQ 1 showed that the majority of the CLIL practices that participants were using were perceived to be effective. The general view of participants was that some CLIL practices were more effective than others, especially in terms of achieving a desired result successfully. The specific CLIL practices and activities that teachers selected to achieve desired results and objectives varied, as did their effectiveness. All participants agreed that having specific teaching objectives contributed to the perceived effectiveness of their CLIL practices since having specific objectives provides a clear goal and a measureable outcome. Table 1 succinctly

summarizes the highlights and common themes from the TQIF responses and the participant interviews that were relevant to addressing RQ 1.

Table 1

Summary Bullet Points for RQ 1

| TQIF Responses | Interviews |
|--|--|
| <ul style="list-style-type: none"> • The most effective CLIL practice is asking students questions frequently because it develops meta-cognition. • Encouraging students to speak is also very effective. • Rushing students is not effective. • CLIL practices are not effective when teachers speak in excess. • All CLIL practices can be more effective by motivating students to ask more questions and encouraging students to be independent. • Having specific teaching objectives improves CLIL practices through having a measurable goal. | <ul style="list-style-type: none"> • The most effective CLIL practice is having students do presentations because it enhances meaning making. • Student-centered CLIL practices are effective. • The least effective CLIL practice is lecturing. • Teacher-centered CLIL practices are not effective. • All CLIL practices can be more effective by encouraging students to become self-reflective and more actively engaged in their learning. • Having clear teaching objectives improves a teacher's effectiveness. |

RQ 2: What Are the Most Effective CLIL Practices?

The findings from data analysis of the TQIF responses and participant interviews about RQ 2 showed several themes about which most participants agreed. For example, all participants agreed that having students show what they know through making presentations to the class, or teaching the class about subject content (e.g., the different types of landforms) were perceived to be the most effective CLIL practices mentioned in the TQIF responses and during the participant interviews.

The most important and recurrent themes about the most effective CLIL practices were the following: (1) making connections, (2) encouraging active engagement, (3) integrating content and language outcomes across disciplines, and (4) implementing clear teaching objectives. On the TQIF survey and during their interviews, teacher participants articulated general principles and theories that explained how and why certain CLIL practices were more effective than were others.

Making connections (e.g., using comparing and contrasting activities) was important because it enhanced self-reflection and the development of meta-cognition. Encouraging active engagement (e.g., doing student-to-student interviews) was important because it kept students motivated and interested. Integrating content and language outcomes across disciplines (e.g., conducting a science fair) was important because it facilitated higher-level thinking and meaning making. Implementing clear teaching objectives (e.g., teachers organizing their materials and activities around specific learning outcomes) was important because it kept the teachers focused on the goal of the lesson, which contributed to a coherent, cohesive, and smooth flow of teaching

activities. Table 2 summarizes the highlights from the TQIF responses and the participant interviews that were relevant to addressing RQ 2.

Table 2

Summary Bullet Points for RQ 2

| TQIF Responses | Interviews |
|--|--|
| <p>The most effective CLIL practices:</p> <ul style="list-style-type: none"> • Encourage students to make personal connections with each other and with the subject matter • Engage students to actively participate in discussions and presentations • Integrate different subject areas to enhance meaning making • Involve having a clear lesson plan with specific objectives and goals • Prioritize asking questions | <p>The most effective CLIL practices:</p> <ul style="list-style-type: none"> • Include clear objectives, goals, outcomes, and boundaries • Provide students with consistent and immediate feedback • Focus student attention • Apply concepts learned actively through presenting and practicing • Keep conversations on topic • Use visual aids and movement • Have students work in teams |

RQ 3: What Are the Least Effective CLIL Practices?

The overarching theme of the findings from data analysis of the TQIF responses for RQ 3 revealed two types of pressure that contributed to participant perceptions about ineffective teaching. There was: (1) psychological pressure, such as the unrealistic pressure put onto students to understand something more rapidly than they were able; and there was (2) cognitive pressure, such as the unrealistic pressure put onto students to match the assumptions of teachers about how much students should already know or should have learned previously. One participant (P6) provided an apt analogy that describes both types of pressure: “An example of ineffective teaching would be teaching students about water molecules and expecting them to know how to swim...students need to actually go swimming.”

The general view of the least effective CLIL practices was that ineffective CLIL practices were those in which students could not stay focused, or lost attention and connection to the lesson because of two primary attributions: (1) the teacher was enforcing passive learning (i.e., students gained access to knowledge only through sitting and listening); and (2) the teacher was not providing students with effective feedback. With effective CLIL practices, feedback from teacher to student is consistent and immediate. When learning is passive, it is very difficult to assess what students have learned because the teacher provides no interactive verbal feedback to students while they are sitting and listening, unless the teacher stops lecturing and asks the students questions.

Lecturing was the most ineffective practice that all participants mentioned during their interviews because it is teacher-centered, passive for students, and leads to a loss of student focus and frustration. Appendix B provides a list of other CLIL practices and core components that contribute to ineffectiveness. Table 3 summarizes the highlights from the TQIF responses and the participant interviews that were relevant to addressing RQ 3.

Table 3
Summary Bullet Points for RQ 3

| TQIF Responses | Interviews |
|--|---|
| <p>The least effective CLIL practices involve:</p> <ul style="list-style-type: none"> • Lack of motivation • Fear and frustration • Making assumptions • Taking learning out of context • Unrealistic pressure to understand rapidly • Unrealistic pressure to perform rapidly • Emphasizing memorization over meaning making and critical thinking | <p>The least effective CLIL practices involve:</p> <ul style="list-style-type: none"> • Unclear instructions • Lack of timely feedback • No student self-reflection • Emphasizing high test scores • Students losing connection to the teacher, to other students, or to the lesson content • Students losing focus and attention • Lecturing and passive student learning • Moving on to the next thing prior to mastery |

Limitations and Recommendations for Further Research

The limitations of this research study that may have influenced the findings were reflected in six main areas. These six areas are the following: (1) the teacher participants selected had variable levels of knowledge about CLIL pedagogy and CLIL practices, dissimilar college degrees, and disparate degrees of professional teaching experience; (2) given that the Hyde Academy teaching staff was small (15), the sample size was small; (3) findings about CLIL practices that were shown to be effective at Hyde Academy may not be generalizable to other contexts; (4) teacher perceptions of the effectiveness of CLIL practices sometimes varied; (5) the complexity of the multi-step process inherent in the ADDIE action research methodology may not have been the most valid or reliable way to determine CLIL effectiveness; and (6) variables outside of the control of the researcher—such as differences in the participants’ teaching ability, differences in the communication style of the participants, or the social-emotional intelligence of the participants—may have triggered researcher bias, which could have skewed the interpretation of the findings of the collected data about the most effective CLIL practices that the researcher used.

The primary limitations of the findings predominantly reflected in three areas: (1) lack of teaching experience, (2) lack of knowledge about CLIL pedagogy, and (3) TQIF complexity (see Appendix A). Some of the improvements that researchers could apply to rectify the limitations in future research are the following: (1) to use participants with more teaching experience in future studies, (2) to provide participants with more CLIL training, (3) to simplify the TQIF, (4) to conduct more participant interviews, and (5) to expand the scope of the study.

Recommendations for Further Research

This research study investigated the effectiveness of CLIL teaching practices at Hyde Academy in Beijing, China. The use of a qualitative action research design yielded ample data that was detailed and highly descriptive about effective and ineffective CLIL practices. Analysis of the participant narratives showed themes that provided a depth of understanding that is a hallmark of qualitative research. However, there is always room for improvement and this researcher has several recommendations for further research that would be beneficial to consider.

One recommendation for future research would be to conduct quantitative or mixed methods studies investigating CLIL practice effectiveness because of validity and reliability concerns as well as the benefit of using different (other than qualitative) research methods. Another recommendation would be to conduct more research studies in China. During the past twenty years (1997-2017), very few studies have looked at CLIL use in China. Research in the general field of English as a Second Language (ESL) in East Asia “is a relatively new area of empirical inquiry, and it has the potential to make significant contributions to child second-language acquisition theory building, research methodologies, and policies in East Asia and beyond” (Butler, 2015, p. 303). Conducting more action research would balance out the predominance of present research, most of which does not employ an action research-based methodological design.

Other general recommendations for further research are the following:

- to conduct more studies in China with younger students since CLIL use has not yet been widely studied in non-university contexts (Cheng & Cheng, 2012; Hu & Lei, 2014; Wei & Feng, 2015);
- to conduct more comparative studies to confirm or disconfirm the finding that students’ L1 improved more in a multilingual CLIL context than in a monolingual context (Liu, 2008; Shen & Xu, 2015; Xanthou, 2011; Xu, 2015; Yang & Dai, 2012);
- to conduct more longitudinal studies since most of the studies examined in the literature review of this study were not longitudinal in design; and
- to use larger sample sizes in future studies to discern more recurrent themes, trends, and patterns about how to improve CLIL practices.

Implications for Practice

The primary practical value of this study was to identify the most effective CLIL practices at Hyde Academy (see Appendix C). One of the overarching semantic themes that appeared throughout this study about effective CLIL practices was the importance of making connections. The most meaningful connections occurred when students did presentations, taught others, practiced self-reflection, compared and contrasted ideas and languages, participated in lively discussions, noticed cross-curricular commonalities, and engaged in teamwork.

Although the sample size of nine participants was small and the setting idiosyncratic (a private K-9 bilingual school in an affluent area of Beijing, China), one can speculate reasonable generalizations about possible implications of the findings of this study to other contexts. What follows is a list of logical implications of the findings of this study for application to other contexts. The list starts with the least plausible implication and concludes with the most plausible implication, according to the discernment of this researcher.

Implication 1: Teaching Utility

According to the findings of RQ 1, teacher participants used CLIL practices effectively. Thus, one reasonable implication of that finding for practice would be that of general teaching utility. Teachers in other K-9 bilingual schools (especially those serving Chinese students) in Beijing would probably benefit from using the most effective CLIL practices identified in this study (e.g., doing a science fair project presentation) in their own schools since students in other bilingual schools may be similar in many ways to those students enrolled at Hyde Academy.

According to Wang (2014) and Xu (2015), a multilingual context facilitated enhanced meaning making.

Implication 2: Swim Patiently and Artfully with Language Development

During the participant interview with P6, P6 shared some musings about the language acquisition process. P6 reflected that there were four steps to the successful process of foreign language acquisition: (1) acquiring many new words in the foreign language, (2) having a plateau period where no significant learning seems to be occurring, (3) taking a break from learning new words, and (4) experiencing a huge gain in language use and vocabulary acquisition because of taking a break.

Second language research corroborates P6's ideas about language acquisition (e.g., De Diezmas, 2016; Lai, 2014; Lin, 2015). P6 remarked that progress in learning a foreign language was not predictable and required a lot of patience since there was a huge difference between the knowledge base in the primary language (L1) and the comparatively limited knowledge base in the foreign language (L2). This knowledge base disparity was the cause of much frustration for P6 personally. An implication of P6's narrative would be for teachers to have patience with their students who are learning L2. Another implication would be for teachers to be sympathetic when students get frustrated about not learning L2 quickly. It is important to be willing to take a break from the pressure of matching the vast L1 knowledge base with the limited L2 knowledge base.

In a narrative from the TQIF, P4 also reflected that L2 learning was an unpredictable and artistic process that required understanding and patience on the part of the teacher. P4 offered these critical and insightful remarks:

One thing academics often want to turn a blind eye to is that while academics want everything to be measurable, observable and scientific, teaching is often best accomplished with an artist's touch—realizing that each day is as different as each student and a method that was effective for one student one day may not be effective on the same student the following day—and perhaps never effective for another student. The effectiveness of practices used depends on the willingness of the student to learn, and that is where the science of teaching fails to recognize the artistry of the teacher.

One implication of P4's critical reflection would be for teachers to use a variety of practices without the expectation that one practice would be consistently effective. An identified effective practice may be very effective for some students and perhaps may not be effective at all with other students.

Implication 3: Enhance Student Motivation

According to the findings of RQ 2, teacher participants found that students were positively motivated when they were interested in the subject content, and when they used oral language in a practical context to convey meaning (e.g., giving a science fair poster presentation). The constructivist theorist Vygotsky claimed that the most meaningful, motivated, and motivational learning occurred through the convergence of speech and practical activity (Levykh, 2008; Vygotsky, 1978).

Implication 4: Use Interactive Activities with Content Teaching

According to the findings of RQ 2, teacher participants reported that it was very effective to use interactive activities in lessons that focused on teaching students subject content. When teachers purposefully integrated highly interactive activities (e.g., having students interview each other) with subject content (e.g., understanding vocabulary words), students became highly engaged socially and went deeper cognitively. As is forwarded in constructivism, students learn best when they construct meaning through the forum of social engagement (Cheng & Cheng, 2012; Lin, 2015; Vygotsky, 1978).

Implication 5: Integrate the 4 Cs

According to the findings of RQ 1 and RQ 2, teacher participants perceived that the most effective CLIL practices were those that had components of content, cognition, communication, and culture (the 4 Cs) mixed together (Coyle, 2015). For example, a project that would combine the 4 Cs would be having students make a poster about different aspects of country's culture, and then having students present that poster to the class. CLIL pedagogy forwards that language is best understood and most effectively produced in a context that has components of content, cognition, communication, and culture (Cheng & Cheng, 2012; Coyle, 2015; Smala, 2013; Zhang, 2008).

Implication 6: More Provocative Discussions

According to the findings of RQ 1 and RQ 2, teacher participants forwarded that successful independent learning occurred when students participated actively in socially engaging and developmental learning processes (as corroborated by the findings of Coyle, 2015; De Diezmas, 2016; Hu & Lei, 2014; Muñoz-Luna, 2014; and Vygotsky, 1978). One example of a socially engaging CLIL practice occurred when actively participating in class discussions about provocative topics that encourage independent thinking and controversy, such as discussing a student remark that girls are smarter than boys in math. These provocative topics could come from comments the teacher has heard students make, seriously or in jest.

Implication 7: Ask More Questions

According to the findings of all three research questions, teacher participants unanimously agreed that asking questions was a very effective CLIL practice. For example, P4 mentioned, "I don't interrupt a student when they are trying to convey an idea; once they've completed their idea, I ask open-ended questions with sincere interest. I respond to questions with phrases they can use." The effectiveness of asking questions was a recurrent and ubiquitous theme reflected in the participant responses to the TQIF. A teacher's attitude probably has an influence on the effectiveness of asking questions. For example, asking questions respectfully will probably be more effective than asking questions condescendingly. Asking clear and open-ended questions is an especially important CLIL practice in an ESL classroom context (Meng, Zhao, & Chattophonexay, 2012).

Implication 8: Be Specific and Clear about Teaching Objectives

According to the findings of all three research questions, teacher participants concurred unanimously that the most effective CLIL lessons were those that had specific objectives and CLIL practices that clearly connected to each other. A meta-analysis of the literature conducted for this research study showed that one of the primary reasons that CLIL practices proved to be ineffective was attributable to vague methods resulting from having unclear teaching objectives (e.g., Chapple, 2015; Goodman, 2014; Ravelo, 2014; Serrano & Miralpeix, 2013).

Participants agreed that ineffective teaching occurred when they had no clear objectives which provided a definitive purpose and direction. Writing specific objectives guided many aspects of the lesson planning process. For example, P4 explained, “Having specific subject content objectives helps when writing lesson plans, planning activities, and determining materials necessary for effective teaching. Having content objectives in mind allows for writing of comprehensive and inter-related lesson plans.” All nine of the participants agreed that, with respect to subject content, having clear and specific objectives made the lesson more effective through these means: (1) providing a focus, goal, and expectations (P1, P3, P5, P8, P9); (2) having a concrete way to measure success (P1, P2, P5, P6, P9); and (3) increasing organization and selection of relevant materials and methods that align with the objective (P4, P6, P7, P9).

Implication 9: Present, Present, Present

According to the findings of all three research questions (on the TQIF and during the interviews), teacher participants unanimously promoted student presentations as the most effective CLIL practice. The four general factors that were inherent in all of the most effective CLIL practices were the following: (1) making personal connections with the subject matter and with others in the class (e.g., having meaningful conversations with the teacher and other students); (2) having the student at the center of an actively engaged learning environment (in contrast to the teacher being at the center); (3) integrating linguistic-oriented activities with content-oriented activities to facilitate high levels of social engagement and to deepen meaning making; and (4) having clear, specific, and measurable teaching objectives. One example of an effective CLIL practice that combined all four factors was conducting a science fair in which students did oral presentations about their science fair projects—to adults during a science fair event and to peers during class.

Doing a science fair was one example of an effective and constructivist-oriented activity that integrated many effective CLIL practices into one integrative, multifaceted, and interdisciplinary project. Students chose their science fair projects based on their personal interests. The science fair project objectives combined linguistic development (e.g., fluent expression of science vocabulary during oral presentations) with achieving content outcomes (e.g., demonstrating understanding of science concepts on science fair project posters). P2 noted that throughout the science fair process, “students not only focused on content or language, but on both of them. Students were interested in the content part, which motivated them to study (and practice) the language part” (i.e., giving presentations to visitors during the science fair).

Concluding Quote

A quote from the Chinese Ministry of Education (2011) is very relevant to include here as a concluding statement, as it speaks to the importance of having policies and practices that promote global educational goals. This quote also underscores the significance of doing educational research in China as a service to teachers, to students, to the educational community, and to the world at large, contributing to the body of knowledge about effective education for all:

The study and use of English play a key role in absorbing the legacy of human civilization, drawing on advanced science and technology in foreign countries, and promoting mutual understanding between China and the rest of the world. Provision of English instruction at the compulsory education stage can lay a foundation for raising the quality of the Chinese citizenry, developing talents with strong innovative capacities and cross-cultural communicative skills, and enhancing China's international competitiveness and its citizenry's ability to engage in international communication. (p. 1)

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Appendix A
TQIF Survey Instrument

Teacher Questionnaire and Interview Form (TQIF): CLIL Effectiveness

Qualitative action research study: *Most Effective Practices for Content and Language Integrated Learning*
at Hyde Academy, Beijing, China

Researcher: Bradley Thomas Nitschneider, Doctoral Candidate
Ed.D. in Educational Leadership and Management Program, St. Thomas University

Directions: Please answer the questions and statements in the following pages about your perception of the effectiveness of the CLIL teaching practices that you have been using.

After you have finished with this questionnaire, return it to Brad and he will store it in a secure location to ensure your privacy and maintain confidentiality.

Brad will be using this questionnaire as the basis for your interview.

Allow yourself three days to complete this questionnaire. Please be thorough with all of your responses. If any of these questions or statements is unclear, please let Brad know and he will do his best to clarify any misunderstanding with you. Thank you for your participation in this study.

What does CLIL Pedagogy mean?

What does effectiveness mean?

What is one example of an effective teaching method that you have been using with your students? Please be specific. Provide a name for that method and explain how you perceive that teaching method to be effective. Lastly, provide a few ideas about how that method could be more effective.

Name of the method: _____

How the method is effective:

How the method could be more effective:

According to the American Council on the Teaching of Foreign Languages (ACTFL), there are five goal areas for learning foreign languages (*in italics*) that indicate readiness to participate effectively in a multilingual global context.

In my perception as a teacher, my students (in general, as a whole class) are:

1) communicating effectively in more than one language (Goal 1: Communication)

Please provide an example of one specific practice that you have used effectively to achieve this ACTFL goal.

2) interacting with cultural competence and understanding (Goal 2: Cultures)

Please provide an example of one specific practice that you have used effectively to achieve this ACTFL goal.

3) connecting with other disciplines and acquiring diverse perspectives (Goal 3: Connection)

Please provide an example of one specific practice that you have used effectively to achieve this ACTFL goal.

4) developing insight into the nature of language and culture (Goal 4: Comparisons)

Please provide an example of one specific practice that you have used effectively to achieve this ACTFL goal.

5) participating in multilingual communities (Goal 5: Communities)

Please provide an example of one specific practice that you have used effectively to achieve this ACTFL goal.

According to David Coyle, one of the leading authorities on CLIL, there are four specific areas of instructional design and lesson planning (*in italics*) that are used to measure the effectiveness of CLIL instruction. These four areas are content, culture, cognition, and communication.

In my perception as a teacher, I use specific content objectives in my lesson planning to:

teach students subject content effectively (content)

Please provide an example of one specific subject content objective that you have used effectively in your lesson planning.

Please name and briefly describe one specific subject content activity that you used effectively to realize that subject content objective.

Please explain how you determined the effectiveness of that subject content **activity** and subject content **objective**.

Do you think that having specific subject content objectives helps you teach more effectively? Please explain your answer.

According to David Coyle, one of the leading authorities on CLIL, there are four specific areas of instructional design and lesson planning (*in italics*) that are used to measure the effectiveness of CLIL instruction. These four areas are content, culture, cognition, and communication.

In my perception as a teacher, I use specific content objectives in my lesson planning to:

teach students cultural content effectively (culture)

Please provide an example of one specific cultural content objective that you have used effectively in your lesson planning.

Please name and briefly describe one specific cultural content activity that you used effectively to realize that cultural content objective.

Please explain how you determined the effectiveness of that cultural content **activity** and cultural content **objective**.

Do you think that having specific cultural content objectives helps you teach more effectively? Please explain your answer.

According to David Coyle, one of the leading authorities on CLIL, there are four specific areas of instructional design and lesson planning (*in italics*) that are used to measure the effectiveness of CLIL instruction. These four areas are content, culture, cognition, and communication.

In my perception as a teacher, I use specific linguistic objectives in my lesson planning to:

teach students how to use English effectively in their thinking about language (cognition)

Please provide an example of one specific linguistic **objective** that you have used effectively in your lesson planning to help students to use English language in their thinking about language (e.g., how to structure a sentence, or how to learn basic rules of English grammar).

Please name and briefly describe one specific thinking-focused **activity** that you used effectively to realize that linguistic objective.

Please explain how you determined the effectiveness of that thinking-focused **activity** and linguistic **objective**.

Do you think that having specific linguistic objectives helps you teach more effectively in terms of developing students' ability to think about English language? Please explain your answer.

According to David Coyle, one of the leading authorities on CLIL, there are four specific areas of instructional design and lesson planning (*in italics*) that are used to measure the effectiveness of CLIL instruction. These four areas are content, culture, cognition, and communication.

In my perception as a teacher, I use specific linguistic objectives in my lesson planning to:

teach students how to use English language effectively in conversation (communication)

Please provide an example of one specific linguistic objective that you have used effectively in your lesson planning to help students to use English language in their conversations.

Please name and briefly describe one specific conversation-focused activity that you used effectively to realize that linguistic objective.

Please explain how you determined the effectiveness of that conversation-focused **activity** and linguistic **objective**.

Do you think that having specific linguistic objectives helps you teach more effectively in terms of developing students' ability to have conversations in English? Please explain your answer.

Please answer these summary questions, providing clear explanations and examples.

1. What are some examples of the most effective CLIL teacher practices that you have used?

2. How did you measure the effectiveness of those CLIL teacher practices? Please explain what characteristics made those teaching practices effective.

3. What are some examples of the least effective CLIL teacher practices that you have used?

4. How did you measure the ineffectiveness of those CLIL teacher practices? Please explain what characteristics made those teaching practices ineffective.

5. Please explain whether you agree or disagree with this statement: **Having specific linguistic and content objectives makes my teaching more effective.**

Appendix B

Tables Showing Ineffective CLIL Practices and Core Components of Ineffectiveness

Table B1

Least Effective CLIL Practices, Methods Used to Measure Ineffectiveness, and Core Components

| Least Effective CLIL Practices | Ineffectiveness Metrics | Core Components of Ineffectiveness |
|--|-------------------------|---|
| Assumption-based | Pop quiz | Silence, fear, misunderstanding |
| Peer editing | Teacher observation | Students make same mistakes |
| Quick games | Teacher observation | Rushing the student to understand |
| Peer tutoring | Teacher observation | Higher-level students get frustrated |
| Practices that ignore lack of student interest | Teacher observation | Lack of motivation and desire to communicate or participate |
| Learning vocabulary by memorization | Time taken to memorize | Taking vocabulary words out of context does not allow insight |

Table B2

Least Effective Practices List

| TQIF Responses | Interviews |
|--|--|
| <ul style="list-style-type: none"> • Rushing students and being impatient with them is not effective. • CLIL practices are ineffective when teachers speak in excess. • Ineffective CLIL practices do not motivate students to ask more questions. • Ineffective CLIL practices do not encourage students to think and act independently. • Not having specific teaching objectives contributes to ineffective teaching. • Relying on memorization impedes student meaning making and inhibits deeper understanding. | <ul style="list-style-type: none"> • The least effective CLIL practice is lecturing. • Teacher-centered CLIL practices are not effective. • Ineffective CLIL practices do not encourage students to become self-reflective. • Ineffective CLIL practices discourage active engagement. • Having unclear teaching objectives contributes to a teacher's ineffectiveness. |

Appendix C

Tables Showing Effective CLIL Practices and Core Components of Effectiveness

Table C1

Effective CLIL Practices and Participant Explanations about Effectiveness of Practices

| CLIL Practices | How the Practices Are Effective |
|--|--|
| Selective correction (mentioned by P1 and P5) | Focuses attention on errors and guides student to understand their own mistakes |
| Engage, Study, Activate (ESA) | Elicits student engagement, arousal, noticing, and using language; flexible for any subject content |
| Demonstration | Provides guided support, clear instructions |
| Zone of Proximal Development (ZPD) | Uses scaffolding |
| Pre- and post-evaluation | Measures growth and improvement (progress) |
| Constant questioning | Gauges student understanding, allows verbal communication |
| Pair/group work | Involves the whole group |

Table C2

Most Effective CLIL Practices, Methods Used to Measure Effectiveness, and Core Components

| Most Effective CLIL Practices | Effectiveness Metrics | Core Components of Effectiveness |
|--|--|---|
| Discussion, asking questions, and conversation (mentioned by P1 and P9) | Teacher observation, student explanations | Students increase confidence; develop, make progress, and improve reading, writing, speaking and listening skills |
| Science fair project | Teacher and peer evaluation | Ability to express clear understanding of science vocabulary orally and in writing |
| Demonstration, role play, and task-based activities (mentioned by P3 and P6) | Teacher observation, informal assessment | Students “show what they know” by completing tasks independently and by giving clear instructions to others |
| Using story problems | Teacher observation | Apply a skill across the curriculum |
| Present, practice, produce method | Observing the student’s oral and written output | Students feel more actively involved in the learning process |

| | | |
|---|---|--|
| Having clear rules and objectives, doing random calling to answer questions | Observing behavior and listening to how students answer questions | Students remain focused, understand questions, and no student falls through the cracks |
|---|---|--|

About the Author

Bradley Thomas Nitschneider, Ed.D. (yogabrad@hotmail.com), is the elementary program coordinator and head of English Language Arts (ELA) and Social Studies programs at Hyde Academy, a pioneering bilingual school located in Beijing, China. He earned his Ed.D. in Educational Leadership and Management from St. Thomas University in Miami Gardens, Florida. “Dr. N.” (as his students refer to him) has written five math books and is currently working on a book about how to establish a thriving learning organization by applying leadership principles and integrating the most effective teaching practices that he learned from his teaching experience, reflection, and research. In addition to continuing his research and writing projects, Dr. N. joyfully teaches students in grades 6-9 at Hyde Academy. He has more than 35 years of experience as a teacher, tutor, counselor, and yoga-meditation instructor. His prior research (conducted for his M.A. in Counseling Psychology at Notre Dame de Namur University in Belmont, California) investigated the transformational effects of yoga practice on body image in female yoga practitioners. His current passion project is to open a yoga retreat and education center on the Big Island of Hawaii, which will educate the community about ancient shamanic healing traditions of the East and West.

Discussion Questions

1. What does the term effectiveness mean to you? How can you accurately measure effectiveness in general?
2. What were the most effective teaching methods that you have used or were effective methods that teachers used in your classes? How were they effective?
3. How does constructivism explain the process of making meaning from data/information?
4. How is making connections important in the development of understanding/knowledge?
5. Why is participating in a science fair an effective teaching-learning experience?

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What Secular Nonprofits Can Learn from Religious Donors

Richard Pulido

Abstract

This article provides an analysis of what secular nonprofits can learn from religious donors. The research provided an understanding of how and why religious organizations secure more than other secular nonprofit organizations, how secular nonprofits can increase their philanthropic resources, and how to identify strategies to help secular nonprofit organizations be more successful in securing a greater share of the philanthropic dollars. The emphasis of this research was to offer fundraising professionals in the nonprofit community an examination of the literature that will guide their organization's strategic fundraising plan. The research provided analysis on what motivates U.S. philanthropists to give donations to both secular nonprofits and religious nonprofits.

Keywords: philanthropy, nonprofits, religious donors, secular donors, motivation

Introduction

Professionals dedicated to identifying, cultivating, and ultimately soliciting donations for charitable and philanthropic causes, as well as the leaders of these respective organizations, regularly miss opportunities to earn financial support because they highlight the organization and the work it does instead of understanding and capitalizing on the reasons donors give. According to research on donor motivations, factors that do not relate to the organization or cause to which they are giving move often donors. For most donors, internal and social considerations such as self-satisfaction and social standing within their peer groups are far more determinative than the recipient of their generosity, up to and including whether the organization can even accomplish any proposed or promised benefits. When it comes to successful philanthropy, it may be less about the cause and more about the donor and what moves donors to open their checkbooks.

The gap between what donors want, and respond to, and what organizations and charities do to solicit and collect donations is perhaps most visible by examining how donors respond to

appeals from religious causes and charities, as opposed to secular ones. Comparatively, religious giving far surpasses cause-specific secular giving in the United States. In raw dollars, estimates for religious giving in the US were nearly \$123 billion in 2016 or nearly a third (32%) of all charitable giving that year, while other secular non-profits share a disproportionate disadvantage. For example, 15% (\$60 billion) Education, 12% (\$47 billion) Human Services, 10% (\$41 billion) Foundations, 8% (\$33 billion) Health, 7% (\$30 billion) Public-Society Benefit, 6% (\$22 billion) International Affairs, 5% (\$18 billion) Art, Culture and Humanities and 3% (\$11 billion) Environment/ Animals (Giving USA, 2017). Over time, religious giving remains the largest single category of charity. McKeever (2015) provided outstanding grounding for the premise of giving disproportionality by demonstrating that just 6% of registered non-profit and charity organizations are religious in nature. Taking McKeever and the national donation data at face value, just 6% of charitable organizations are receiving nearly a third of all charitable giving – a clearly disproportionate balance.

This imbalance in favor of religious giving, sparks the unavoidable question – if donors are making their philanthropic decisions based on the organization and impact-related considerations, are religious charities that much more effective or efficient in delivering on their missions than secular ones? Or is it more likely that donors who support religious causes and institutions are responding to an entirely different set of cues and rewards than those being offered by secular groups and causes? Research supports the latter conclusion and, to the extent it is accurate, leaders of charitable secular efforts are likely to be missing out on billions of dollars in potential support simply because they are using the wrong words and the wrong language to communicate the wrong things to their donor targets.

Religion Does Not Singularly Drive Religious Giving

An examination of religious versus secular giving must start by dispensing with the premise that donors to religious causes give because of religion. If that was correct, leaders of secular endeavors could be excused for not wanting to compete with divinities or consider rewards and motivations on par with salvation or damnation. But, they are not so easily excused because, overall, the research does not support direct causality between religion and religious giving, which is to say that just being religious does not mean you disproportionately give to religious groups or causes. Looking only at people in the U.S. who give to charity, for example, McKittrick, Landres, Ottoni-Willihelm, and Hayat (2014) found that more than half say their religious affiliation or religiousness is an important factor in their giving. However, importantly, McKittrick, et al., are clear that religion is only one factor in their decision-making and only a factor in *whether* they give, instead of a reliable indicator of the causes or organizations they support.

Gerstein, Landress, and Avedon (2014) explain this loose connection between religion and cause or focus of giving, finding that U.S. donors with “strong religious connections” were more likely to support charities and groups with wide, diverse missions and impacts, instead of religious groups that primarily or exclusively served those with a shared religious ideology or values. If religion drove religious giving, we may expect that the philanthropic receiving organizations as well as the intended beneficiaries are religious. Gerstein, et al. and McKittrick, et al. are not alone. Wiepking, Bekkers, and Osili (2014) also found no direct correlation between the depth or passion of belief and overall giving.

Research does show a correlation between the depth or passion of a donor's religious conviction and their exclusive giving to that religious order, but this phenomenon tends to exist mostly at the upper and narrower end of the conviction spectrum. Strengthening both the rule of loose affiliation between religion and religious giving and the exceptions, Forbes and Zampelli (2013) described that deeper levels of religious affiliation increased giving to both religious and secular causes. Overall, however, the link between religiousness and religious related giving is weak.

If religiousness does not primarily drive religious giving, we must consider other causes for the disparity between religious and secular giving – in particular, what donors to religious activities are getting for their generosity. In addition, more specifically, we should consider what givers to religious groups and causes are getting that they do not find in secular giving.

What Donors Really Want

While it is inaccurate to say that donors do not care about the causes, groups and leaders they give to, the research supports that two factors are far more powerful indicators of donor behavior – self-worth and social networks.

Tsipursky (2017) explained that most donors, regardless of whether they give to religious causes, secular ones, or both, give to receive a feeling of self-satisfaction or social prestige. Although others dissent, most of the research exploring why donors give coalesces around the idea they do so because it makes them feel good. How the prospective donor feels about him- or herself because of making a contribution is far more important than other factors, including what that contribution may accomplish. This donor emotional space of self-satisfaction is most powerful when the donation aligns with a deeply held personal value, allowing the donor to feel good that their donation is a direct manifestation of their commitment to and sacrifice for this value. In other words, while making a donation to any cause may produce a boost in self-value, when that donation is tied to a cause or institution the donor cares deeply about, that feeling is compounded.

The values component is a key ingredient in the self-worth calculation. Nathan and Tempel (2016) described that linking charitable activity to an expression of values of the donor going so far as to outright label philanthropy itself as having an “expressive purpose.”

Those who disagree about self-worth being the primary motivator of charitable giving tend to favor the potency of social status, not the impact of the donation, as the lead motivator. Campbell (2013) described that the “secret ingredient” to what causes religious-minded donor's giving is not the religion but the strong and deep social networks in and around their religious institutions. Specifically, Campbell found that the more friends and connections someone has – whether in a religious setting or outside it – the more likely they are to be donors. Going even further, Campbell almost dismisses the importance of religiousness outright in finding that those with abundant “prosocial” networks were even more likely to be philanthropic than those who were deeply religious but had fewer personal, social connections.

Galen, Sharp, and McNulty (2014) reinforced Campbell (2013) directly and suggested that religious belief too often “conflated belief in God with group involvement” and demonstrated that the benefits of social networks are equally available to religious and secular group members. And although giving a bit more weight to the religiousness of the networks than others, Lewis, Macgregor, and Putnam (2013), nonetheless conceded that the correlation

between religion and charitable engagements, is often explained by religious social networks, not beliefs of affiliation.

In understanding the power of social networks, it is important to distinguish that the giving correlation in these networks is not simply that peers or close connections ask for a donation or otherwise directly spur it. Instead, related to self-worth calculations, donors with strong and large social networks tend to consider how those in those networks will view the donation – whether, in other words, it will make them appear more favorably to their peers and connections.

It is worth noting, though, that in my original research on donor motivations, when donors received a direct prosocial network link to motivate a donation, they did not agree entirely. The direct connection of, “I am most likely to give to [an institution or nonprofit] because someone I respect asked me to do so” scored only modestly among other potential motivations for giving when donors were asked directly. If, as Campbell, Lewis and others suggest, peers are a major mover in giving, we may expect this direct peer-ask question to score better than in the bottom third of available responses. At the same time, this finding may reflect a limitation of the research in that the response is self-reported. Accordingly, if a sense of self-worth and reflected values are primary motivators, as the literature and research affirm, those contributing to the research by completing my survey may have been reluctant to acknowledge the role played by outside influences, especially people in their peer and social groups. In addition, the research question asked only about a solicitation originating from a peer or peer group, not the donor’s relative standing within it by having given, which the research indicates may provide a more powerful inducement.

It is Not Efficacy

That all donors probably share the key motivations of self-worth and social standing is the first important lesson that should guide better outreach on behalf of secular causes and organizations. The second lesson is that, if they intend to appeal to donors who are otherwise motivated to give to their religious competitors, those donors are at least somewhat likely to devalue the impact an organization may make related to its mission.

The above underscores the relation of values to giving motivations, due to the way religious givers recognize authority, they specifically do not make donations to affect solutions. While this impact consideration is not negative – they do not give to have no impact – impact is not a leading or even major motivation for religious givers. Consistently, Thornton and Helms (2012) also found this among those whose faiths had strong beliefs in an afterlife (Christians, Mormons, and Seventh-day Adventists as examples). Further, Gerstein, et al. (2012) indicated that American Jewish donors are twice as likely (42% to 21%) to support charitable efforts of organizations that are specifically unproven or new, further bolstering the idea that religious givers prioritize institutional strength or impact. In these cases, the donation itself, as well as the reason to make it, is a reflection of values and their relative places in their social networks.

The combination of these views, as related to messaging, strongly implies that secular organizations that advertise their longevity, efficiencies and successes are missing opportunities to connect with donors who may otherwise be receptive. In addition, secular charities that deploy messages about the percentage of funds that find their way to programs and activities as opposed

to administration or other expenses, for example, may be similarly missing opportunities with these donors.

We can further conclude that, among the many donors who discount impact as a motivation and favor more social and self-regard benefits, and especially those who give to religious groups and initiatives, rewards and recognitions do link to giving. The more rewards or benefits that a charity or organization offers related to a donation, the more likely a donor is to give. For most organizations, these rewards and inducements include recognitions and publications of gifts, actual gifts, events and social gatherings, longevity in the form of naming rights and networking opportunities. To varying degrees, both secular and religious charitable efforts deploy these tactics. Seeing these benefits as lowering the cost of a donation, expense minus reward, makes clear that, if donors were exclusively, or even primarily, motivated by what their donations accomplished, lowering the cost would have a negligible impact on whether they give and to what degree. However, this is not true. Therefore, the excellent work their donations may affect cannot be the sole motivation for donors to both secular and religious efforts.

The Double Edge of Rewards and Recognitions

Because rewards and recognitions work as donor motivators, charitable causes, especially secular ones, use them. However, they can overdo this and unintentionally undermine their outreach to potential donors who may be inclined to support religious efforts.

Even though they work, donors engage cognitive dissonance on this point. In my original research, donors rated “donor rewards and activities” that specifically linked to gain or recognition as among the least powerful reasons to give. This finding strongly implies that, although donors may respond positively to being rewarded, even more strongly than the organizational mission or impact, they prefer to think of other reasons for giving as being predictive. It is not that they do not want rewards and recognitions; they probably just do not want to admit they want them because it cuts against the primary motivation for giving – feeling good for having given.

More consequentially, some have found evidence that, in some cases, donor recognitions and rewards can actually dissuade donor engagement. Specifically, Wanga, and Tongb (2015) found that recognitions as innocuous as publication of donor gifts can make donors less likely to give in the future by triggering reputation benefits – the idea that the gift may enhance one’s reputation or social standing. Nearly parallel to donors wanting recognition but not wanting to admit it, the negative consequence of reputation benefits is that donors want their donations to enhance their standing within their peer groups, but they do not want their peers thinking they made the donation for this reason alone. Therefore, when given the choice between no recognition or reward and high self-esteem and recognitions and rewards that may trigger reputation benefits, many donors reject the benefits. In addition, with a warning to charities and their leaders, when making a donation carries explicit or outsized recognitions or benefits, many donors simply avoid the donation altogether rather than risk the reputation benefits.

Research on charitable behavior (both donating and volunteering) by Winterich, Mittal, and Aquino (2013) also showed that recognition for philanthropy is only of value when the recipient has a low moral identity internalization, meaning that they do not view their own contributions as highly valuable or overly recognized. Strikingly, the Winterich, et al. also explained that for those individuals with high moral identity internalization, those who already

feel they are making valuable contributions, donor recognition is useless. Recognition for these potential donors may be counterproductive.

What Secular Non-Profit Leaders Overlook

At the highest level, non-profit leaders and fundraising professionals frequently misplace their focus – putting it on their organization and its accomplishments instead of on the donor. Considering that most donors give for reasons that are intrinsic rather than altruistic, believing that people give to do good can be a costly mistake.

All non-profit and charitable organizations and efforts would be well served to recalibrate their donor outreach and solicitations to fit a donor-centered approach instead of an outcome, effectiveness one. Keeping in mind that, almost without differing view, researchers have found that increased self-esteem and a confirmation of donor values are the top motivators of donor activity, charities should, for all donor messaging, ask whether the core value is doing good or making the donor feel good. There are benefits in the latter approach.

In addition, secular non-profits should consider taking up affirmative strategies that mimic or even replicate the signals and messages and experiences that attract donors to religious charities. These including identifying and promoting leaders with strong personalities, highlighting ritual and concentrating on shared values. Secular organizations, regardless of their missions, should have no trouble adopting and using messages of shared values. Even more, they should message and promote those values directly and publicly.

Replicating or co-opting the strong social networks of groups would also be beneficial in bringing more religiously inclined donors to secular causes. Those networks are, without question, the biggest, most impactful lesson that secular non-profits can take from the success of religious philanthropy. Leaders of secular non-profits, when seeking donors, should connect to and within existing, strong social networks created and maintained by other organizations or around other causes. At the same time, they should account for the fact that not all social networks are equal. Although the literature is not determinative, it is unlikely that secular definitions of strong social networks run parallel to religious ones – a local Chamber of Commerce likely does not maintain the same social network strength as a local Catholic Church, for example. Actual religious groups, fraternities, sororities – groups with shared values and rituals – are more likely to afford the strong social bonds and pressures that could be directed to support secular giving.

The power of prosocial networks in giving motivations also implies that secular organizations would benefit by creating them regardless of whether they exist in other places. Campbell (2013) did not equivocate in finding that, if secular organizations could imitate the somewhat close, interlocking friendship networks created within religious organizations, they too would spur a comparable level of charitable giving.

Finally, all non-profits, but especially secular ones, should re-evaluate their donor recognition and reward incentives, realizing that these efforts can actually motivate donors not to give if the non-profits do not handle them appropriately. Finding ways to lower the donation cost without triggering reputation benefits will likely be successful.

Secular non-profits would benefit by recalibrating their donor outreach and solicitation efforts around and in line with these core ideas. Because some donor-centered approaches cross secular and religious lines, self-worth and social standing as examples, investments in these areas

will likely strengthen an organization's existing donors. Those strategies, coupled with investing in tactics such as replicating networks, reflecting shared values and minimizing a focus on organizational strength, stability and impact, can simultaneously open doors to new donors, donors who may have previously supported religious initiatives.

Without deploying at least some of these strategies and tactics, it is implausible to think that continuing to build organizations and philanthropic outreach campaigns in ways that have attracted the existing donors, donors who are, by definition, supportive of secular causes, will entice donors who rely on different frameworks, messages and experiences to make their charitable decisions. As such, they will continue to watch the lion's share of American philanthropy go to religious causes – even to those that share similar missions to their secular counterparts.

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Discussion Questions

1. What are some donor behaviors that will help professional fundraisers understand ways to increase their organization's philanthropic resources?
2. What are the similarities in the giving practices between religious donors and secular donors?
3. What motivates philanthropy in the U.S.A.?

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Computer Technology and Twitter for Online Learning and Student Engagement

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Abstract

Increased use of online pedagogy in higher education has revealed a need to analyze factors contributing to student engagement in online courses. Throughout the past decade, social media has been a growing influence in higher education. This study examined the attitudes of students and faculty toward computer technology and Twitter for educational use. A total of 127 students and 50 faculty responded to a 15-item Attitudes Toward Computer Technology for Educational Purposes Survey and a 15-item Attitudes Toward Twitter for Educational Purposes Survey.

The testing on the four hypotheses used the Mann-Whitney U and Jonckheere-Terpstra tests. For H_{01} and H_{02} , researchers found no significant differences between students and faculty on attitudes toward the use of computers or on attitudes toward the use of Twitter for learning and student engagement, respectively. For H_{03} , researchers found significant differences in attitudes toward computers for educational purposes based on the number of online courses taken. For H_{04} , researchers found no differences in attitudes toward Twitter for educational purposes based on the number of online courses the students and faculty completed.

Keywords: attitudes, cross-sectional, computer technology, online learning, social media, technology acceptance, Twitter

Introduction

The growth of online education has led to considerable interest in research that explores the issues of academic performance, assessments, learning activities, interactions between students, interactions between students and faculty, and engagement in online courses (Allen & Seaman, 2015). As the capabilities of the Internet and the affordability of personal computers increased in the 1990s, distance learning quickly evolved from established approaches, such as instruction by mail, radio, and television, to online learning (Allen & Seaman, 2014; Cuban, 1986; Tyson, 1936).

Although online higher education has been available for 20 years, a number of negative stereotypes persist. For example, online education is not as rigorous as its face-to-face counterpart, online courses are substandard to on-campus courses, and online faculty are less engaged than on-campus faculty (Seaman & Tinti-Kane, 2013). Researchers have pointed out that the online learning platform presents a distinctive challenge on how to engage students in developing content specific knowledge (McCracken, Cho, Sharif, Wilson, & Miller, 2012). However, over the past decade, this form of educational delivery has become widely accepted and a common learning option. Numerous studies have found that online education has outpaced traditional higher education, with the majority of accredited institutions now offering distance learning courses (Parsad & Lewis, 2008). According to the 2015 Survey of Online Learning, online education has continued to outpace on-campus attendance for 13 consecutive years (Allen & Seaman, 2015).

Twitter

The use of social media for educational relevancy offers students and faculty a way to communicate and interact virtually outside of learning management systems (LMS). According to Lowe and Laffey (2011), using Twitter to create concise “Tweets,” messages of 140 words or less, is easier to read and less cumbersome than traditional methods of blogging. Twitter allows students and faculty to create a Tweet and have the class see the message, whether the members logged into the LMS or not. Twitter, as an educational tool for fostering a classroom community, practicing collaborative writing, sharing and collaborating with other schools, referencing websites, making announcements, and sending reminders is under exploration (Grosbeck & Holotescu, 2008).

Statement of the Problem

In response to the rapid growth of enrollment in online classes, the number of higher education faculty members teaching online is increasing (Allen & Seaman, 2015). However, faculty may be reluctant to incorporate different forms of online teaching strategies because of fear of change, concerns about the reliability of technology, uncertainty about student outcomes in online learning environments, workload issues, and other factors (Bacow, Bowen, Guthrie, Lack, & Long, 2012; Betts & Heaston, 2014; Bolliger & Wasilik, 2009; McQuiggan, 2012). Fostering faculty’s acceptance of online delivery methods is critical for institutions that consider online learning to be a key part of their strategic plans and to attract increased enrollment. To facilitate faculty acceptance of online delivery strategies, college administrators need to

understand how both students and faculty perceive online learning and the factors that shape their perceptions about the quality of online teaching and learning.

Twitter correlates to an increase in student engagement and student performance in on-campus classes (Junco et al., 2011). However, it is not evident from the literature whether Twitter is a viable part of the instructional strategy (Junco et al., 2011). Studies on Twitter use for online courses have largely been nonexperimental, with sources such as testimonials and university blogging sites to measure Twitter's effectiveness on student engagement. Researchers, therefore, can consider findings to be subjective and anecdotal, and may not generalize them to all student populations (Anderson, 2011; Berinato & Clark, 2010; Junco et al., 2011; Lowe & Laffey, 2011).

Null Hypotheses

To fulfill the purpose of this study, the research study addressed the following null hypotheses:

H₀₁: There is no difference between students and faculty regarding attitudes toward the use of computer technology for learning and student engagement.

H₀₂: There is no difference between students and faculty regarding attitudes toward the use of Twitter for learning and student engagement.

H₀₃: There is no difference in attitudes toward computer technology for student and learning engagement based on the number of courses students completed online.

H₀₄: There is no difference in attitudes toward Twitter for student and learning engagement based on the number of courses students completed online.

Theoretical Foundation: The Technology Acceptance Model (TAM)

The theoretical model the researchers used as the foundation for the current study is the Technology Acceptance Model (TAM) (Davis, 1989; Davis et al., 1989). This model is the most powerful extension of the theory of reasoned action (TRA) by Ajzen and Fishbein (1975). The TRA promotes understanding of an individual's voluntary behavior, attitudes, and subjective norms. The technology acceptance model, based on the TRA, has a firm theoretical basis and empirical support (Davis, 1989; Davis et al., 1989). The TAM has been the most influential model to predict the acceptance and use of various technologies for learning (Davis, 1989; Jen-Hung et al., 2007; Seyal, 2015; Seyal et al., 2015; Shih-Chih et al., 2011).

The effectiveness of the TAM in explaining and predicting the success of new technology, led to testing the model across disciplines to examine acceptance in various public sectors of diverse technologies. These areas include computer-based information systems (Davis, 1989); health information technology (Holden & Karsh, 2010); World Wide Web (Lederer, Maupin, Sena, & Zhuang, 2000; Porter & Donthu, 2006; Shih, 2004; Yi & Yujong, 2003); electronic commerce (Ha & Stoel, 2009; Pavlou, 2003; Vijayasarathy, 2004); e-mail (Gefen & Straub, 1997); Internet banking (Lai & Li, 2005; and online learning (Saadé & Bahli, 2005). In

the case of technology acceptance about social media, there is a lack of comprehensive literature reviews of existing empirical studies (Wirtz & Göttel, 2016). This scarcity is surprising given the current meaning of social media for individuals and society as well as the high level of user acceptance.

Online Learning

Technological advances, including the Internet, have affected the delivery of education across the world. Online learning is growing at an exponential rate (Kauffman, 2015). With nearly 30% of college and university students in the United States currently enrolled in at least one online course, online learning enrollments continue to develop at a more rapid pace than overall enrollments in higher education (Allen & Seaman, 2010, 2015; Armstrong, 2011).

According to Kim (2017), the use of social media in colleges and universities can lead to a loss of control for many faculty who may believe social media is highly disruptive. This view results from most students' greater familiarity with the use of a variety of social media tools than faculty. King et al. (2009) further observed that faculty might resist the adoption of social media networking systems because the faculty simply lack knowledge of the systems.

Student Engagement

In 1984, Alexander Astin recommended a developmental theory for university students that focused on the concept of involvement, which he later renamed engagement. Astin (1984) defined engagement as "the amount of physical and psychological energy that the student devotes to the academic experience" (p. 297). Trowler and Trowler (2010) described student engagement as involving interaction, participation, effort, and time of students and faculty with the purpose of enhancing the learning experience, which also fosters student development and success. Today, the concept of engagement refers to the time and effort students invest in educational activities that link empirically linked to desired college outcomes (Kuh, 2009).

Engagement is among the better predictors of learning and personal development of student learning (Carini, Kuh, & Klein, 2006). Students lacking engagement in their schooling and the process of postsecondary education early in their careers are at risk to inadequately acquire the knowledge and skills for transfer to future educational and work experiences (Miller, Rycek, & Fritson, 2011). Engagement is a fundamental component of any online course. When student engagement lacks, the course is little more than a correspondence course (Gazza, 2017).

Social Media in Education

Institutions of higher learning are pursuing ways to enhance student engagement (Meyer, 2014). As a result, social media networks have become the subject of academic attention. Universities are now using social networking sites as alternative spaces where students can adapt to the college lifestyle through interacting online with peers and faculty (Yu et al., 2010).

McLoughlin and Lee (2010) reported the pedagogical benefits of social media and identified specific benefits of social media connections and social rapport, collaboration (information finding and sharing), student-generated content, and accumulation of knowledge and information. All of these benefits contribute to students' cognitive development.

McLoughlin and Lee (2010) also proposed that the inherent design of social media supports the development of student self-directedness.

Consequently, a number of studies exist that examine whether Facebook and Twitter had positive effects on encouragement of greater student engagement (Deng & Tavares, 2013; Heiberger & Harper, 2008; Junco, 2011; Junco et al., 2011; Junco et al., 2013; Kirschner & Karpinski, 2010). The primary challenge for college leaders and educators is to understand and fully utilize these technologies to help students succeed. However, insufficient research exists exploring the role of social media in colleges and universities. Furthermore, very little knowledge exists regarding the perceptions of higher education administrators of social media and the roles it can play in their institutions (Rios-Aguilar et al., 2012).

Twitter in the Classroom

Social networking sites have received a great deal of attention, but among them, Twitter appears to be the most popular in the university setting (Haytko & Parker, 2012). With large numbers of students using social networking sites such as Twitter, it is appropriate for educators to identify means to use these technologies in beneficial ways within the classroom (Junco, 2014). Researchers have shown that Twitter increases student engagement within the classroom (Grosbeck & Holotescu, 2008; Junco et al., 2011; Kurtz, 2009; Rinaldo et al., 2011). Twitter also increases social interaction among students and educators inside and outside of the classroom (Lowe & Laffey, 2011; Rinaldo et al., 2011).

Twitter is more convenient than other forms of social media. Tweeting from any location with access to the Internet or a mobile phone is possible. Users tweet without charge on a computer with Internet connection but, depending on text messaging and data plans, incur a nominal fee when users access them on a mobile device (Dunlap & Lowenthal, 2009b). Using microblogging in online learning situations to create the opportunity for free-flowing, just-in-time interactions (Dunlap & Lowenthal, 2009b), often lack in this setting. These interactions are short and informal, and take place between the logins common in learning management systems (Dunlap & Lowenthal, 2009a). Socially, microblogging allows for a type of out-of-the-classroom interaction that previously was unavailable in learning management systems. Microblogging thus strengthens interpersonal relationships between students and faculty (Dunlap & Lowenthal, 2009a).

Research Design

This study utilized a quantitative survey research methodology to study participant behaviors and attitudes toward computer and Twitter use. A representative sample of students and faculty reflected the wider population of interest. In this study, the nominal and ordinal independent variables were type of user (students or faculty members) and number of completed courses by the students and faculty (0, 1-5, 6-10, and >10), respectively. The continuous dependent variables were attitudes toward the use of computer technology and attitudes toward the use of Twitter for education.

Using the Attitudes Toward Computer Technology for Educational Purposes (ATCTEPS), the study measured the differences in the attitudes toward using comparative average scores on the ATCTEPS survey between the two independent groups, students and

faculty. The ATCTEPS survey is an adaptation of the Attitudes Toward Computer Technology Scale (ATICTS; Albirini, 2006).

Target Population and Sample

The target population for this study consisted of both students and faculty who either took or taught online courses at a small private university in south Florida. The total student enrollment was 4,918, for the summer semester 2017, of whom 820 students took courses online. Approximately 400 active faculty members were at the university, suggesting a 12:1 student-faculty ratio. The total population size for this study was approximately 5,300 individuals (U.S. News and World Report, 2017). The sample size was 177; 127 were students and 50 were faculty and administrators.

Sampling Procedure

This study employed purposive sampling design. This nonrandom sampling method selects or includes subjects with a researcher's specific purpose in mind. The study applied certain criteria for selection on the principle that some subjects were more suitable for the research than were others. For purposes of this study, the inclusion criteria required that the respondent be a current student or faculty member at a specific university.

Instrumentation

The ATCTEPS was the primary instrument for this study. The ATCTEPS survey is an adaptation of the Attitudes Toward Computer Technology Scale (ATICTS; Albirini, 2006).

Using the ATICTS for measuring teacher attitudes toward information and communication technology took into account three components of attitudes inclusive of affective, cognitive, and behavioral dimensions. These components correlate with actual behaviors based on the theory of reasoned action (Albirini, 2006; Eagly & Chaiken, 1993).

The ATICTS instrument (Albirini, 2006) contains 15 items with responses based on a 5-point Likert scale. The higher the response number, the higher the degree of agreement. Therefore, 5=*Strongly Agree* and represents the maximum score. Conversely, 1=*Strongly Disagree* and represents the minimum score. The scale consists of five subscales that measure computer attitudes, computer attributes, cultural perceptions, computer competence, and computer access. Each subscale ranges between 3 and 15 points. The total scale score ranges from 15 to 75; the higher the score, the stronger the level of respondent's agreement. Additionally, the researchers modified the ATICTS Instrument in a parallel fashion to measure subjects' attitudes toward Twitter.

Rationale for Instrument Selection

Validity

Testing the ATICTS (Albirini, 2006) for both reliability and validity assures the measurement of the actual variable of interest. Face validity refers to the degree to which a test

appears to measure what it claims to measure (Patten, 2014). A panel of experts established face validity of the ATICTS. Content validity is the degree to which a test measures an intended content area (Patten, 2014). A panel of educational and measurement experts established content validity for the instrument (Albirini, 2006).

Reliability

Reliability is the degree to which a test consistently measures whatever it is measuring (Patten, 2014). A reliability coefficient (α) indicates the consistency of the score (Patten, 2014). Albirini (2006) reported Cronbach's alphas for computer attitude (0.90); perceived usefulness (0.86), perceived cultural relevance (0.76), and computer competence (.94). These alpha levels are significantly higher than the typically applied .70 cutoff and strongly suggest this instrument is both reliable and valid (Albirini, 2006).

Data Collection and Recording Procedures

The data collection was through SurveyMonkey, an online survey platform that simplifies creation and hosting of Web-based questionnaires. The survey remained active for data collection one month. The participants read a letter of permission to conduct the research from SurveyMonkey. Participants also read the electronic version of the Informed Consent Form. The informed consent document was part of the e-mail invitation.

Data Analysis and Reporting Procedures

The study used SPSS, Version 24 to conduct the descriptive and inferential analyses of data. Descriptive analysis included a summary of the sample characteristics reported as frequencies, percentages, ranges, averages, and standard deviations. The measuring and reporting of the descriptive data precluded the more complex inferential analysis.

Inferential statistics tested the four null hypothesis statements and to measure the probability that observed results were dependable and useful to make inferences in more generalized conditions. Originally, the study was to address null hypotheses 1 and 2 by *t*-tests for independent samples and null hypotheses 3 and 4 with one-way ANOVAS. The use of these statistical procedures changed after data collection and data inspection. These procedures revealed that the data had nonnormal distributions. The decision to use nonparametric statistical tests resulted after several diagnostic tests: a combination of the Shapiro-Wilk test (a test of normality researchers execute when running descriptive statistics in SPSS), the Levine's test for equality of variances, and subjective examination of the histograms.

Therefore, the study used two other statistical tests for this cross-sectional research design to measure and compare average computer and Twitter acceptance scores between students and faculty. These tests were the Mann-Whitney U test for null hypotheses 1 and 2, and the Jonckheere-Terpstra test for null hypotheses 3 and 4.

Results

Reliability Analysis

The reliability analysis for the ATCTEPS showed that the 15 items in the scale had a Cronbach's alpha, $\alpha = 0.884$. The reliability analysis for the modified scale (Twitter) demonstrated a Cronbach's alpha, $\alpha = 0.919$.

Demographics

A total of 177 individuals responded to the survey over a one-month period. Among the respondents, 127 (71.8%) were students, 43 (24.3%) were faculty, and 7 (4%) identified as administrators. The majority of respondents (64%) were female. There was a fair representation of all age categories, although only 12.6% were over 60 years of age. Among this sample, nearly all respondents (76%) reported ever taking a course online, and 24% reported ever teaching a course online. Among those who reported taking a course, 41% reported taking 10 or more online courses. By comparison, only 18% reported teaching 10 or more online courses.

Nearly two in three respondents reported using Twitter at some time for teaching (68.4%) or learning (63.3%). In addition, 59.2% of the students reported using Twitter at some time when taking a course, and 46.5% of the faculty reported using Twitter at some time for teaching a course.

Analysis of Null Hypotheses 1 and 2

The Mann-Whitney U test analyzed differences in student and faculty attitudes regarding computer technology. The estimated level of agreement that computers were useful for educational purposes was at 61.9 for students and 60.2 for faculty. Although acceptance of computer technology was 1.7 points higher for students, differences in overall acceptance of computers between students and faculty did not reach statistical significance ($U = 1.33$, $p = 0.184$) (see Table 1).

In comparison, with the Mann-Whitney U test for null hypothesis 2, Twitter received considerably lower levels of acceptance among both student and faculty groups. Students provided an average acceptance score of 39.3, and faculty provided an average acceptance score of 39.5. Twitter acceptance for both students and faculty were nearly identical with only a 0.020 estimated difference between the groups ($U = -.106$, $p = 0.915$) (see Table 1).

Table 1

Mann-Whitney U Tests Comparing Acceptance of Computers and Twitter for Education Among Students and Faculty (N =170)

| Variable | Group | <i>n</i> | <i>M</i> | <i>SD</i> | <i>U</i> | <i>p</i> | Decision |
|-----------|----------|----------|----------|-----------|----------|----------|--------------------------------|
| Computers | Students | 127 | 61.9 | 7.4 | 1.33 | .184 | Fail to Reject H ₀₁ |
| | Faculty | 43 | 60.2 | 7.7 | | | |
| Twitter | Students | 127 | 39.3 | 11.2 | | | Fail to Reject H ₀₂ |
| | Faculty | 43 | 39.5 | 14.8 | -.106 | .915 | |

Students and faculty reported the use of various forms of computer technologies as virtual learning environment (89.8%), social media (85.9%), electronic media (75.1%), computer-based training (71.8%), teleconferencing (70.6%), simulations (43.5%), and interactive video discs (31.1%). Furthermore, nearly two in three respondents reported using Twitter at some time for teaching (68.4%) or learning (63.3%). Table 1 displays the results of the Mann-Whitney U tests comparing acceptance of computers and Twitter for education among students and faculty. Based on the Mann-Whitney U test, the test failed to reject H₀₁ and H₀₂.

Analysis of Null Hypothesis 3

To determine if subject attitudes toward Computer Technology differed depending on the number of online classes subjects had taken, the researchers conducted a Jonckheere-Terpstra test. Results showed that the groups were significantly different, $T_{JT} = 6304$, $p = 0.028$ (see Table 2). Pairwise post hoc tests revealed that those subjects who had never taken an online class had significantly lower attitudes toward computer technology than those who had taken any online courses. Therefore, the test rejected H₀₃.

Table 2

Jonckheere-Terpstra Test Results for Differences in Attitudes toward Computers for Learning and Engagement by Number of Online Classes Students and Faculty completed

| Attitudes Toward Using Computers for Learning and Engagement | | | | |
|--|----------|-----------|-----------------------|----------|
| Online Courses Taken | <i>M</i> | <i>SD</i> | <i>T_{JT}</i> | <i>p</i> |
| None | 59.950 | 7.138 | 6304.000 | 0.028* |
| 1 to 5 | 61.150 | 7.043 | | |
| 6 to 10 | 62.260 | 8.846 | | |
| 10 or More | 62.190 | 8.804 | | |

* $p < .05$.

Analysis of Null Hypothesis 4

To determine if subject attitudes toward Twitter differed depending on the number of online classes subjects had taken, the researchers conducted a Jonckheere-Terpstra test. Results showed that the groups were not significantly different, $T_{JT} = 5453$, $p = 0.885$ (see Table 2). Therefore, the test failed to reject H_04 .

Table 2

Jonckheere-Terpstra Test Results for Differences in Attitudes toward Twitter for Learning and Engagement by Number of Online Classes Students and Faculty completed

| Attitudes Toward Using Twitter for Learning and Engagement | | | | |
|--|----------|-----------|-----------------------|----------|
| Online Courses Taken | <i>M</i> | <i>SD</i> | <i>T_{JT}</i> | <i>P</i> |
| None | 39.170 | 13.098 | 5453.000 | 0.885 |
| 1 to 5 | 41.180 | 10.483 | | |
| 6 to 10 | 36.110 | 11.722 | | |
| 10 or More | 40.130 | 12.995 | | |

Discussion of Findings

Testing of the hypotheses revealed mixed results. For H₀₁ and H₀₂, there were no significant differences between students and faculty regarding their attitudes toward Computer Technology and Twitter use, respectively for educational purposes. For H₀₃, subjects' attitudes toward Twitter differed depending on the number of online classes they had taken. Subjects who had never taken an online class had significantly lower attitudes toward computer technology than subjects who had taken any online classes. For H₀₄, there were no significant differences between the number of online classes the participants took and their attitudes toward Twitter for educational use.

With reference to H₀₁, despite their concerns about the use of computer technology and possibly with less experience using them, faculty did not differ significantly from students in their attitudes toward computer technology. The researchers conjectured that faculty personal and professional use as well as the increasing adaptation of computer technology in education influences the faculty attitude toward educational use of computer technology. Second, pertaining to H₀₂, despite faculty concerns about the use of Twitter and possibly less experience using Twitter, again, no significant differences resulted between their attitudes and those of students regarding Twitter use for education. It is possible that, although faculty may not have been wholly comfortable using Twitter, they acknowledged its widespread use among students and may have been open to its use for education.

With reference to H₀₃, subjects who had never taken an online class had significantly lower attitudes toward computer technology than subjects who had taken any online classes. The findings may indicate that the taking of online courses enables individuals to become more familiar with computer technology and feel more comfortable using them for other educational purposes. Finally, for H₀₄, there were no significant differences between the number of online courses students or faculty members had taken and their attitudes toward Twitter use in educational settings to foster learning and engagement. This result may indicate that experiences with online courses did not seem to transfer to differences in attitudes toward the use of Twitter.

The results for H₀₁ and H₀₂, that there was no significant difference between the attitudes of students and faculty regarding Computer Technology or Twitter use for education, seem to coincide with those of previous studies. Seaman and Tinti-Kane (2013) found that only 4.1% of the faculty who used social media used Twitter. The Faculty Focus (2009, 2010) studies reported that faculty had a low rate for communication with students using Twitter (2%) or fellow educators (4%). When the faculty answered, "How likely were they to adopt social media in their courses in the next two years?" only 11.4% responded that they were very likely to adopt Twitter (Faculty Focus, 2009, 2010).

With regard to H₀₃ and H₀₄, difference in attitudes among subjects toward computer technology and Twitter based on number of online courses taken, the results for H₀₃ were significant, and those for H₀₄ were not. Other studies explored related areas, such as the relationship among attitudes and subjective norms (Park, 2000); usefulness of social media and culture as predictors of teachers' attitudes toward computer technology (Hart & Laher, 2015); and teachers' attitudes and levels of technology use in the classroom (Al-Zaidiyeen et al., 2010). However, no previous literature supports or refutes the present findings regarding the differences in attitudes for students and faculty for computer and Twitter use based on number of online

courses the students and faculty completed. The present study results may be the first to explore the differences with these variables.

Recommendations for Further Research

There is a need for additional measurement of student engagement in online courses (Azevedo, 2015; Bannon et al., 1985; Gardner et al., 1993) and for both quantitative and qualitative studies dealing with social media integration in education. There is evidence of Twitter use in higher education classrooms as an object for study, a tool to communicating classroom announcements, as a way to enable students to reflect on their learning, a chance to get instant feedback from students, and as a tool used to facilitate in-class conversations (Watson, 2011). There are many options for integrating Twitter into online learning.

Replicating the current study at other universities with larger samples of students and faculty is necessary. The replicated study also should report results separately for students and faculty, and conduct comparisons. Further, utilizing other social media for comparisons, such as Flipboard, is essential. Replication could include divisions of class ranks of students, with measurement for significant differences among the ranks, additional demographic questions, such as the number of years of teaching for faculty and experience in workshops on the use of social media in education providing further insight. The current study employed experimental and control groups, with the experimental group of participants with social media experience, and the control of participants without as well as the impact of social media use on students' grade point averages and overall learning. Finally, studying other populations, such as middle school and high school students and faculty, with the same or similar research questions.

Conclusion

The findings from this study confirmed the positive influence of previous online course experience on the attitudes of students and faculty toward the use of computer technology for educational purposes. The results also revealed that close to the majority of students and faculty wanted to learn more about Twitter and more than the majority were not afraid of Twitter for educational purposes. These findings indicate the overall acceptance of computer use and openness to use of Twitter by the students and faculty in this study.

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Discussion Questions

1. What are the practical implications of having previously taken online courses in terms of student and faculty attitudes about using computer technology for learning and engagement?
2. What are some of the practical benefits of using Twitter for student online learning and engagement?
3. What are some of the forms of computer technologies that students and faculty use in virtual learning environments?
4. Albirini (2006) reported reliability coefficients of .90 and the current study reported .884; how can future research pertaining to online learning utilize the Attitudes Toward Computer Technology for Educational Purposes Survey?

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“Spoonbill Spreads Wings”

Photograph by Scott Gillig.

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Student Corner

Dissecting History: The Inner Workings of Total War and Terrorism

Jonluc Borno

Abstract

This article presents, delineates, and analyzes terrorism as well as total war along with the psychological development and economic factors that play a role in them. The purpose of this discussion and its corresponding research is to determine whether acts of terrorism are distinct from total war. This article cross-references United States total war history with examples of total war and terrorism from other areas such as Afghanistan, the Democratic Republic of Congo, Burundi, and Burkina Faso. Through Psychologist Clark Hull's Drive Reduction Theory, this article aims to explain the motivations behind acts of terrorism.

Keywords: War, Terrorism, International Relations, Poverty, Economy.

Introduction – The Moral Issue and its Importance

Vincent Paul Abate, Andrew Anthony Abate, Timothy Michael O' Brien, Glen Wall, Farrell Peter Lynch, Eamon J. McEneaney, Mathew Timothy O' Mahoney, Sean Patrick Lynch; These names are among countless etched upon the gravestones of the National September 11 Memorial and Museum. In Greenwich Street in New York City, civilians tour the various sites of this memorial every day and pay their respects to the lives lost during the World Trade Center terrorist attack, an event that arguably boils down to an act of terrorism: an un-provoked use of violence in order to further political aims (Ganor, 2002, pp. 287-304). The 9/11 attacks on the World Trade Center as well as the Pentagon arguably are nothing short of contemptible, but is it possible to find some form of clarity in the motivations behind those attacks? One could make

the argument that acts of terrorism stand as unsanctioned war or total war. The Oxford Dictionary (Oxford Dictionaries, n.d.) defines total war as war that is unrestricted in terms of the weapons in use, the territory, or the objectives, especially one in which the orchestrators disregard the laws of war. As such, total war can potentially rationalize acts of terrorism because they are for self-defense as well as the protection of important Human Rights such as the right to democracy or the right a fair and free world (Council on Foreign Relations, 1980).

Individual Interpretation

There is a difference between total war and an isolated act of terrorism – that the moral values involved with the violent acts of each one respectively are what put up the designated boundary. This boundary between total war and terrorism gains clarity when one examines the U.S.A.'s own history with total war, cross-references it with how other countries have dealt with terrorism in history, and discerns the ethical thought processes involved across the board. While modern society is past the point of world war, it could benefit a great deal moving forward by learning more about total war and terrorism (Goldstein, 2012, p. 107).

U.S. Examples: Practice What You Preach

If I had to select one instance in which the United States of America took part in total warfare, I would cite the atomic bombings of Hiroshima and Nagasaki in 1945. These deadly bombings stand as the U.S.A.'s first and only use of nuclear weapons for warfare in history, but it took only one instance to effectively strip roughly 129,000 people of their lives (Ham, 2014, p. 565). One would think that such an act of mass genocide would constitute terrorism on the U.S.A.'s part, but that country carried out those bombings in response to Japan's preceding attacks on Pearl Harbor – the very attacks that provoked the U.S. into direct participation with World War II (Marston, 2011, p. 75), enacting self-defense or the protection of human rights; keep in mind that these conditions trigger total war. In the case of Nagasaki and Hiroshima, the U.S.A. had the political aim of reinforcing a justified intolerance for military strikes on its territory. With the importance of self-defense in mind, categorizing the atomic bombings as either total war or an act of terrorism becomes a perplexing process; there is a political aim to account for, yet the U.S.'s action itself did not lack a proper cause. Furthermore, the bombings of Hiroshima and Nagasaki were military attacks executed by a national government as a part of a declared and recognized war that had been taking place for years. The U.S. even issued warnings that cities would face destruction in the Potsdam Declaration issued on July 26, 1945 (Declaration, 1945). This is where morals came into play as the Potsdam Declaration at face value was simply a call for Japanese surrender during World War II. It was the morality in the hearts of those who wrote and issued the declaration that warranted the addition of a detailed warning informing the Japanese of exactly what they would suffer for refusing to surrender (Declaration, 1945). A terrorist would never have offered up such a courteous opportunity for mercy to their targets as one will discover within history outside of the U.S.A.

Expanded Analysis: Multinational Growing Pains

The motivations and impetuses for war deserve further examination. Bombs, guns, and other such weapons are not the only things that take lives and cause wars across the world. Consider economics from the perspective of ethical studies authors, Patrick T. McCormick and Russel B. Connors (2002),

Indeed, what are any of us, as Christians, to do about money? What are we to think about property, possessions and accumulated goods? Or about poverty, consumption and sharing with others? Are ownership and wealth gracious blessings from God, rewards for our hard work and clever planning? Or are they the root of all evil? (p. 31).

Even during times of peace, countries such as Afghanistan, the Democratic Republic of Congo, Burundi, and Burkina Faso to name a few, are suffering from intensive levels of poverty. The citizens of these nations are deprived of the food, shelter, and clothing that they need in order to thrive in a working community (The Richest, 2012). Poverty is not absent from larger and richer nations such as Russia, Italy, the United Kingdom, and the United States; however, their citizens enjoy a larger amount of opportunities at gaining healthcare as well as education with which to live better. One can argue these richer nations of the world are always hovering just above the proverbial breaking point of poverty before their masses begin to manifest certain dangerous ideas. For the impoverished nations though, numerous people drown beneath that breaking point every day. Dangerous ideas manifest in those nations on a regular basis, and they are not limited to theft, counterfeiting, arson, or even treason against one's government (Sumner, 1982, p. 126).

Cross-Reference: The History of Terrorist Ideals

In late 1993, civil war erupted in Burundi between the Hutu and Tutsi tribes after the assassination of the newly elected Hutu president (Economist, 2011). The orchestrators of the attacks were extremists who were looking to better Burundi's economic state through their own means. Some 300,000 people died in the resulting war, and a vast majority of them were innocent civilians (Economist, 2011). The Tutsi assassins who caused that war failed to realize their caustic agendas end up hurting more people than helping them. The assassin's actions may seem presumably to involve political means, but their lack of morals effectively brands them as terrorists. The civil war took place in an effort to restore order. The Burundi war consisted of two parties clashing over their morals because one party directly opposed the pursuit of economic stability through democracy (Calhoun, 2012, pp. 85-91). Hutu and Tutsi's conflict works in similar nature to the world trade center attacks. The terrorists who hijacked the planes were not thoughtfully factoring in the safety of their homeland community, let alone the communities of the United States. History repeats itself, and we now have the War in Afghanistan, a war that resulted from the 9/11 attacks and has lasted from 2001 all the way into the present day (Smith, 2016). There is much more to the discussion of terrorism and total war morals than just the community. Look to the counsel of philosopher Jeremy Bentham (cited in Schuh, 2015), who stated "the interest of the community is one of the most general expressions that can occur in the

phraseology of morals” (p. 97). Frequently, groups carry out acts of terrorism, but their origins lie within individuals based on their fluctuating ethics.

Drive Reduction Theory: The Psychology behind Terrorist Ambitions

What comprises the thought processes of people who see it fit to commit crimes and inflict pain on others is traces back to freedom. There are many instances, such as the Tutsi-Hutu conflict and 9/11, in which people have resorted to terrorism because their ambitious motives went hand-in-hand with the fact that they simply had the freedom to do so. When freedom functions only to serve the ever-changing interests and desires of the individual, injustice is bound to result because our obligations to others dissipate (Wadell, 2012, p. 133). In the disclosure of the issue regarding poverty across varying nations above, historical evidence helped to clarify that people conceive malicious ideas when they believe their wellbeing is suffering and will not improve, unless they take action. Under Clark Hull’s Drive Reduction Theory of motivation, this dissatisfaction with poverty is the drive that people are trying to curb (Pastorino, 2012, p. 145). Once a dangerous individual fully realizes their shortsighted desire and develops the resolve to attain it, they will believe that the best course of action is outside the boundaries of what is politically and ethically permissible (Mathews, 2014, p. 107). In my estimation, people involved with terrorist acts and motivations are fixating too heavily on what others own in contrast with what they do not own and are frightened of the possibility that they can do nothing to change such disparity. The fallout stands as an extremist reaction to dilemmas, to which peaceful means could be a better solution (Loza, 2007, pp. 141-155).

Conclusion and Reflection

Christian author Paul J. Wadell (2012) has said, “Every human life takes the form of a story – or really several stories. Some of those stories we inherit and some we choose. We are born into a story as soon as we enter the world and become part of a family” (p. 78). There are many people residing across various nations who can learn from this counsel. I would consider a fair amount of the U.S.A.’s history with military action as morally sound, but that does not mean that my homeland carries no risk of terrorism. The U.S. community is so large and susceptible to immorality that its constituents were committing acts of malice countless times during the civil rights movement (Gressman, 1952, pp. 1323-1358). In any case, I regard the U.S.A. as part of a family with its surrounding nations, and they have their own stories to tell regarding total war and terrorism. Hopefully, the nation will value the boundary between total war and terrorism in its continued undertakings with foreign relations. It is also vital that we prioritize the development of morals in ourselves along with those around us. Attention to moral development should apply to this generation’s young more than ever, as they will be the ones who handle the ethical issues that are sure to arise in the future (Feldman, 2014, p. 145). The United Nation’s International Day of Peace is a good example of an initiative that reaches out to youths, educating them with activities pertaining to peace, unity and making a positive difference in the world around them (White, 1997). This initiative has reached elementary, middle, and high schoolers while also establishing a social media presence through #PeaceDay and it is an ideal means of promoting healthy values to people from all walks of life and at a young age.

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About the Author

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Discussion Questions

1. What preventative measures do you think the U.S. should be taking toward future potential terrorist attacks? Explain each measure. If you do not think the U.S. should take any measures, please explain why.
2. Between community and individuality, which would you say contributes more to the development of decisions that involve terrorism?
3. What are the benefits of an extremist attitude regarding economic international relations? If you think there are no benefits, please explain why.

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Measuring College Value

Cristina C. López

Abstract

This article is a summary of a literature review and mixed methods study that analyzes the value or lack thereof of obtaining a college degree for students. The article specifically focuses on minority students who are first-generation college students with low socioeconomic status (SES) and a lack of role models at home. To conduct the study, the author posed the following questions: (1) What is the relationship between program completion rates and student success; (2) Which data tools can be used to best predict achievement of remunerative and rewarding employment of graduates; (3) What is the relationship between academic programs encompassing classroom learning and paid internships, community service, research projects, and college value; and (4) In what ways do financial factors affect at-risk students' persistence?

Research findings show that there is a need for post-secondary institutions to provide training and support services to maximize the success rates of undergraduate students, particularly to at-risk students. Moreover, the study concludes that there is room for growth for institutions to address the needs of low SES, first-time in college (FTIC), at-risk students in many areas of the institution. In addition, universities should focus on improving access of at-risk students, retention, program completion, and access to rewarding careers.

Keywords: College value, value, Florida, at-risk students, retention, careers, college success, job satisfaction.

Introduction

With the increasing cost of tuition of higher education institutions comes the question of whether it is worth it for students to obtain a college degree or not. What is the true value of college? Why even get a college degree? According to Moore, McNeill, and Halliday (2011), many young people are willing to make great efforts, including going into debt, to get a degree. Moreover, when we study minority students who are first-generation college students with low socioeconomic status (SES) and a lack of role models at home, this topic becomes even more crucial. These students will be the focus of my study, and they certainly are at a disadvantage when compared with white students of affluent backgrounds. In fact, students in the lowest income quartile constitute less than 4% of enrollment. A popular explanation for this

phenomenon is that low-income students undermatch by attending less selective colleges when their credentials predict admission to more highly selective colleges (Bastedo & Flaster, 2014).

Measuring college value is, therefore, a hot topic that is present in students' minds when thinking about whether to pursue a college degree or not. My research study focuses on a non-profit religiously affiliated regional four-year institution in south Florida. For the purpose of this research and in order to maintain confidentiality, I will call the institution Transformational University. Transformational University serves a majority minority undergraduate population composed primarily of blacks (21%) and Hispanics (46%) with a smaller representation of adult learners (6%) and veterans (2%). Almost one in two (47%) of students are low income and qualify for financial aid in the form of Pell grants.

For the purpose of this study, I will define certain terms in the manner described right below. These will be the definitions valid for this study.

- At-risk Students: students or groups of students who are considered to have a higher probability of failing academically or dropping out of school.
- College Completion: to graduate with a college degree in four years or less.
- College Value: the return graduates derive from higher education expenses, such as rising tuition fees.
- Environmental Consistency: the rate of adaptation of students to academic environments.
- Environmental Inconsistency: lack of adaptation of students to academic environments.
- Rewarding Careers: jobs that pay rather well in order to repay the investment of obtaining a college degree, and that are in the chosen field of study of the graduate.
- Undermatching: low socioeconomic status (SES) students that choose colleges that are not selective; the selection is made based on their financial situation rather than on the students' academic achievement.

Methodology

The methodology for this article follows, including the research design, variables, study location, sampling procedure, and instrumentation.

Research Design

To best answer the research questions posed, this research will use a mixed methods approach. Since the purpose of the study is to identify factors that predict student success as it relates to college value, this researcher chose a correlational study. This researcher identified and chose several data tools to measure program completion, financial risk factors, and student employability skills that will predict preparedness and access to rewarding careers.

Variables

The independent variables for this study include background characteristics, financial factors, sense of belonging, internships, work obligations, social obligations, and family obligations. This researcher defined college success as a student completing a college degree

within four years or less, and obtaining a job or acceptance to a graduate degree program within five months of graduation.

Study Location

Transformational University (a pseudonym to preserve confidentiality of the institution) will be the chosen site of the study. Transformational University is a private, liberal arts, non-profit religiously affiliated four-year institution located in south Florida.

Sampling Procedure

This researcher's sample will be a cohort of 50-100 at-risk college students. This researcher will utilize surveys, focus groups, and employment tracking tools.

Instrumentation

The instruments to collect data will be comprised of a self-report online questionnaire with multiple sections: a self-assessment or career assessment (Focus 2 software), a program completion tool (Starfish and Student Planning online tools), a retention tool which includes an assessment on financial risk factors (ENGAGE survey), and career readiness instruments (InterviewStream and Handshake).

Results

The literature review for this research study will focus on the following areas:

1. Lack of role models for minority students,
2. College graduation rates,
3. College retention rates,
4. Financially at-risk college students,
5. Sense of belonging, or lack thereof, of college students,
6. The importance of mentors, and
7. Rewarding careers.

Themes

The themes that emerged in the study were the following: college success, rewarding careers, college completion, retention, and at-risk students. Following, this researcher will examine each theme.

College Success

In 1993, Astin presented a study about what truly matters in college. The study focused primarily on student involvement, and how this has a positive effect on college success. Student involvement reflects the amount of physical and psychological time and energy the student

invests in the educational process. Forms of academic involvement that had beneficial effects on student learning and personal development included enrolling in honors courses, participating in study abroad programs and college internship programs, participating in racial/cultural awareness workshops, doing independent research projects, making class presentations, and taking essay exams. These examples are in line with the present study, which intends to have 100% of the at-risk students examined engage in an internship opportunity, research experience, study abroad, or volunteer experience.

Student engagement is important because research tells us that engaged students, those who have a sense of belonging in college, are more likely to succeed – that is, to complete their degrees and ultimately graduate. Even though in the United States we have one of the highest college participation rates in the world, large gaps persist in terms of access to and success in higher education, especially for low-income, minority, and first-generation students. Utilizing data from the U.S. Department of Education datasets, Engle and Tinto describe how this population participates in higher education, including persistence and degree attainment rates, and compare their participation to that of other students, including those students who are neither low-income nor first-generation (Engle & Tinto, 2008).

According to Engle and Tinto's research, low-income, first-generation students experience less success than do their peers from the very beginning. Across all institution types, they found that low-income, first-generation students (the target group in my study) were nearly four times more likely – 26 to 7 percent – to leave higher education after the first year than students who had neither of these risk factors. Six years later, nearly half (43%) of low-income, first-generation students had left college without earning their degrees. Among those who left, nearly two-thirds (60%) did so after the first year. Despite such gaps, low-income, first-generation students were indeed more than seven times more likely to earn bachelor's degrees if they started in four-year institutions, but only 25% of them did so. A large number of low-income, first-generation students began – and completed – their studies at public two-year and for-profit institutions.

Going to the root of the matter, Smart (2007) examines the use of Holland's person-environment fit theory to track and explain two alternative patterns of student success. The first pattern is when the initial strengths of students are improved. The second pattern occurs when students' competencies, interests, and preferred activities expand. The study ties major fields of students in colleges with student success. Smart provides an interesting analysis on how major selection and college success intertwine based on the initial strengths, on the one hand, and the competencies, interests, and activities, in contrast, of students taken to the maximum potential.

Rewarding Careers

Work Values

Continuing with Holland's theory, Huang and Healy (1997) examined the relationship between Holland-typed majors and six undergraduate work values (authority, recognition, administrative responsibility, financial success, helping others, and artistic creativity). The study found that Holland-typed majors attract freshmen whose work values match the departmental environment in which the major is located. Regarding seniors, the Holland-typed majors help predicting their work values. Huang and Healy conducted a thorough study of 18,137 students

who persisted at four-year institutions from 1985 to 1989. The study did not differentiate whether the students were at-risk or not though, it included all student populations. Nonetheless, it provides light regarding what matters to students when it comes to work environments: having the authority to make decisions, being recognized for the work they do, possessing administrative responsibility, being successful financially, helping others, and having artistic creativity.

Jobs

Measuring college value relates directly to the success of the graduates and how satisfied they are in their jobs. In 2005, Wolniak and Pascarella did exactly that, they explored predictors of job satisfaction. Interestingly, they matched data on workers' job experiences in 2001 to those workers' college experiences across 30 institutions and background characteristics of up to 25 years earlier. They found that income and job field congruence both facilitate the effects of majors on job satisfaction. It is therefore fundamental for students to choose their majors wisely in college, as this will impact their future success and satisfaction in the workforce (Wolniak & Pascarella, 2005).

College Completion

Mangold, Bean, Adams, Schwab, and Lynch (2003) assessed the effect of a freshman mentoring and unit registration program on college persistence. They focused on a major state university in the fall of 1994, and the goal of their study was to find ways to improve retention of first year students. The researcher uses academic performance and retention rates as outcome measures and related to student and university characteristics. The researcher analyzes the nature of the program and the impact it has on persistence, grades, and graduation. Even though this article is interesting, it does not differentiate between the various clusters of students. That is, it does not separate students based on need, ethnicity, or on whether they are the first in their families to attend college, all of which are part of this researcher's unit of analysis.

Academic Advising and Career Counseling

Advising plays a vital role to student success. Advising impacts students not only while they are completing their degrees but also beyond graduation. Reardon and Bullock recognized the importance of advising, and as such reviewed Holland's theory and implications for academic advising and career counseling in 2004. In their article, Reardon and Bullock discuss the differences between academic advising and career counseling. On the one hand, academic advising focuses more on college and university students and life and career decision making related to curricular and co-curricular activities. On the other hand, career counseling is more comprehensive than academic advising, and not limited at all to educational settings (Reardon & Bullock, 2004).

Holland's theory is a combination of six personality characteristics: realistic (R), investigative (I), artistic (A), social (S), enterprising (E), or conventional (C) – RIASEC. According to RIASEC's theory, if a person and an environment have similar codes (for example, an artistic person who is in an artistic environment), then the person is more likely to be satisfied

and to continue in that environment. Researchers may classify college campuses' environments, majors, work positions, and occupations with the RIASEC system. This way in which colleges stay so focused on academic advising and career counseling in a holistic manner intentionally benefits students by providing them with a structure, maintaining them oriented and on target for completion.

Role of Faculty

The role of faculty represents another important component of a student's college experience. In 2005, Umbach and Wawrzynski conducted a study that utilized two national data sets to explore the relationship between faculty practices and student engagement. Findings of their study show that students report higher levels of engagement and learning at institutions where faculty members use active and collaborative learning techniques, engage students in experiences, emphasize higher-order cognitive activities in class, interact with students, challenge them academically, and value educational experiences of growth. Faculty at liberal arts colleges truly engage their students. This engagement is of invaluable worth, more so to at-risk students who are less likely to succeed from the start based on research (Umbach & Wawrzynski, 2005).

Retention

Baier, Markman, and Pernice-Duca (2016) surveyed 237 first-time college students to examine how social-cognitive factors (self-efficacy, perceptions of mentorship, high school GPA, ACT scores, first-semester college GPA, and demographic characteristics) influence freshmen's intent to persist. Students who are the first in their family to attend college are four times more likely to drop out than others. They frequently rely on financial aid and work to afford college, and they may lack mentoring and knowledge about college life. Identifying characteristics that encourage freshmen to persist can help facilitate effective interventions to improve graduation rates (Baier, Markman, & Pernice-Duca, 2016).

Baier, Markman, and Pernice-Duca's 2016 study examined the extent to which college self-efficacy beliefs, mentorship perceptions, prior academic achievement, and participation in learning communities, as well as socioeconomic status predict intent to persist, both at the beginning and at the end of the first-time in college – FTIC's first semester in college. Results found that college self-efficacy and mentorship perceptions significantly predicted intent to persist at the end of the first semester in college, whereas college GPA and participation in learning communities did not. Similarly, socioeconomic factors did not predict intent to persist at the end of FTIC's first semester in college (Baier et al., 2016).

Another study Feldman, Smart and Ethington conducted in 2004 focuses on outcomes of differences in person-environment fits. The article includes various analyses utilizing the "theory of careers" developed by John Holland (1966, 1973, 1985, 1997) to examine the patterns of student stability and change intrinsic to the college experience, to comprehend the satisfaction, learning, and retention of college students. It focuses on personality types and on how dissimilar personalities fit differently depending on the university. The assumptions that the theorists utilize in their study are that: (1) people tend to choose environments compatible with their personality types; (2) environments are inclined to emphasize and reward different patterns of abilities and

interests; and (3) people tend to blossom in environments that are congruent with their dominant personality types.

Academic Achievement

Often, universities react to problems rather than proactively anticipate them. The latter style is bound to produce positive results, especially to retain students. DeBerard, Spielmans and Julka conducted a study on predictors of academic achievement and retention among college freshmen (2004). Their longitudinal study examines possible psychosocial predictors of freshman academic achievement and retention. College freshmen were assessed on a variety of dimensions during the first week of their freshman year, and at the beginning of the next academic year. The dimensions they were assessed on were demographics, prior academic record, smoking, drinking, health-related quality of life, coping, etc. Some health and psychosocial variables, such as smoking, drinking, and social support, were related to retention. This model can be used to proactively identify students at high risk of falling into poor academic performance in their freshman year and provide guidance on proactive intervention strategies for behaviors that predict poor academic performance, which will ultimately translate into retaining those freshmen.

The Future

Tinto (2006) critically looks to the future of retention, and identifies three areas of research and practice that call for further investigation. These areas include issues of institutional action, program implementation, and the constant challenge of promoting the success of low-income students.

At-Risk Students

Drop-outs

At-risk students come in many shapes and forms. In 2004, Hoyt and Winn decided to study this student type to understand better students and retention. They examined the students that are not retained at a university, and dug into the various categories of these students: drop-outs, stop-outs, opt-outs, and transfer-outs. The profiles of these student subcategories and the varied reasons as to why they decide to discontinue their studies are fundamental to developing a targeted retention strategy that will work for the college in question. This article brings clarity regarding retention and how a cookie-cutter approach will not impact retention. Knowing the characteristics of the students that do not continue their academic studies is extremely important to customize strategies to retain students with the same characteristics in the future.

Financial Factors

One area that colleges and universities are recently studying is that of undermatching of students in lower socioeconomic statuses (SES). Undermatching occurs when students with low socioeconomic statuses opt for colleges and universities that are not selective, only based on

financial need. However, based on their academic achievement, these students could opt to institutions that are more selective. In a recent study conducted by Bastedo and Flaster (2014), they examine the phenomenon of low income students undermatch by attending less selective colleges when their credentials predict admission to more highly selective colleges. Students in the top SES quartile represent 69% of enrollment at institutions who admit less than a third of their applicants, contrasting with only 4.1% of students who come from the lowest SES quartile. Low SES students are easier found at community colleges or for-profit colleges and represent 42% of the students who do not enroll at any college immediately after high school. Sadly, the consequences for these low-income students who do not enroll in college are far less likelihood to graduate, a reduction in their health, earnings, and work opportunities, and a negative impact in contributions to their communities. Hoxby (2014) agrees that college should be no barrier to education. Hoxby found that Harvard University's new recruitment efforts drew a group of applicants that was larger and somewhat poorer than before. All prestigious universities should follow suit to improve access of the non-affluent students, especially because those who are born in families with low socioeconomic status (SES) are not doomed to repeat history. Despite overwhelming odds, some disadvantaged urban youths do indeed achieve upward mobility (Edin, DeLuca & Clampet-Lundquist, 2016).

Another area of concern is the increasing university tuition fees. Moore, McNeill and Halliday studied the value that young people place on university-level education, and their attitudes to going into debt to pursue a university degree (2011). Is university worth the price? Students who were committed to university regardless of the increased tuition cost were committed because they saw a degree as worth the cost in order to improve job prospects and, to some extent, because they were more knowledgeable about the costs of university and the financial support available to students. However, more efforts should go into addressing misconceptions about institutional financial support. Many young people are willing to sacrifice to get a degree, including getting into debt. That does not mean that they would not welcome the support to make the best choices, including accessing financial aid, and managing debt (Pike, Smart, Kuh, & Hayek, 2006). Once students are equipped to make those informed decisions, managers and administrators of institutions can examine the relationships between higher education expenditures and student outcomes to make the policy recommendations and adjustments that they may deem necessary.

Mentors, Role Models

The design of many college and SAT preparation programs is to improve the postsecondary success of traditionally marginalized students. Over and above academic preparation, students' social and emotional readiness is important for the transition from high school to college. Mentors can serve as role models and support structures to aid students in this development. Mentoring, especially by near-peers who can relate to their mentees and share their own experiences, may serve as an important link between SAT and college preparation, and students' subsequent college enrollment and success. Mentoring involves a relationship in which advice and messages are exchanged and in which the mentor genuinely wants to support and help develop the mentee. Mentoring ultimately leads to increases in college attendance, retention, and graduation rates (Woods & Preciado, 2016).

Sense of Belonging – Student Engagement

In 2004, Zhao and Kuh researched learning communities and student engagement. In their study, they analyzed the relationships between participating in learning communities and student engagement in educationally purposeful activities of freshmen and seniors from 365 four-year institutions. Findings demonstrate that participating in a learning community relates positively to engagement and student self-reported outcomes, as well as to overall satisfaction with college.

Student learning outcomes represent another subject of study that can relate to student engagement. Smart (2010) studied differential patterns of change and stability in student learning outcomes in Holland's academic environments, focusing on the role of environmental consistency. Smart found through this study that there is a wide variation in the learning patterns of college students in the academic environments of Holland's theory. Moreover, he found that this variability is different based on the level of consistency or inconsistency of the environments. Consequently, students' retention and timely program completion will be impacted.

Conclusion

The findings of this study are consistent with current research in that it identifies the need for post-secondary institutions to provide a multitude of training and support services to maximize the success rates of undergraduate students, particularly to at-risk students. Similar to the literature, this study concludes that there is room for growth for institutions to address the needs of low SES, first time in college (FTIC), at-risk students in many areas of the institution.

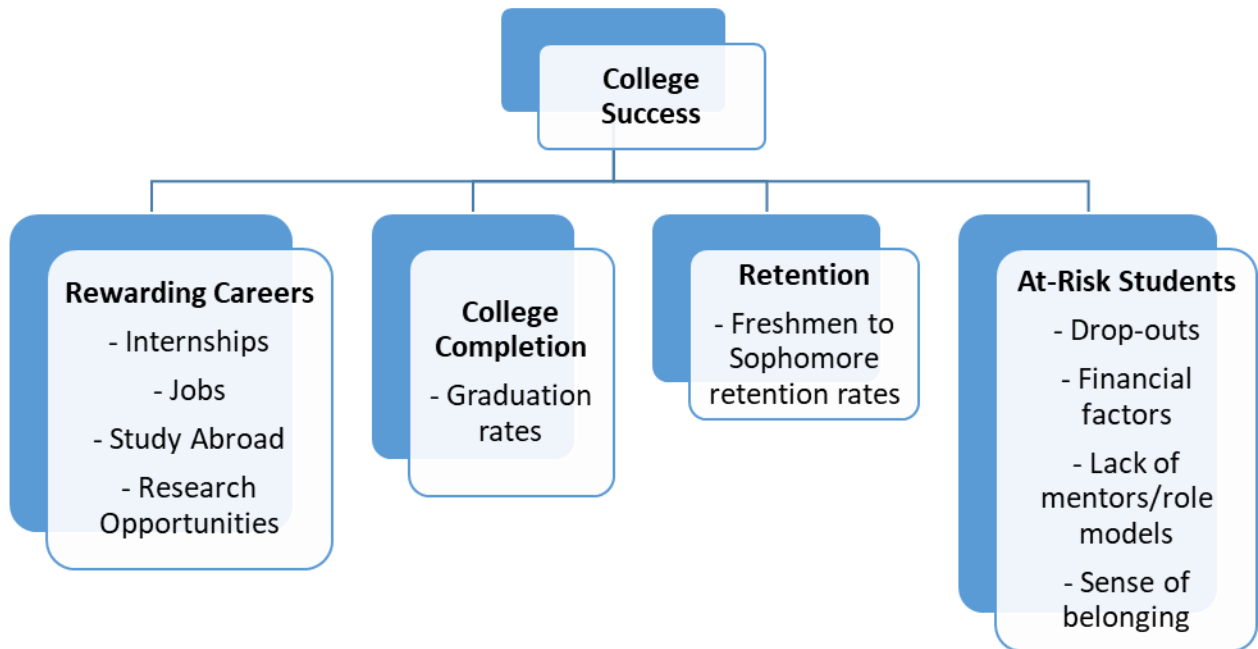
Expanding on the findings of this research, universities need to focus on improving access of at-risk students, retention, program completion, and access to rewarding careers. The literature review identified deficiencies in each of these areas. An important theme that appeared relates to financial aid, more precisely to under-matching. Another important theme that emerged was regarding the relationship of major selection and college success, and major selection and job satisfaction.

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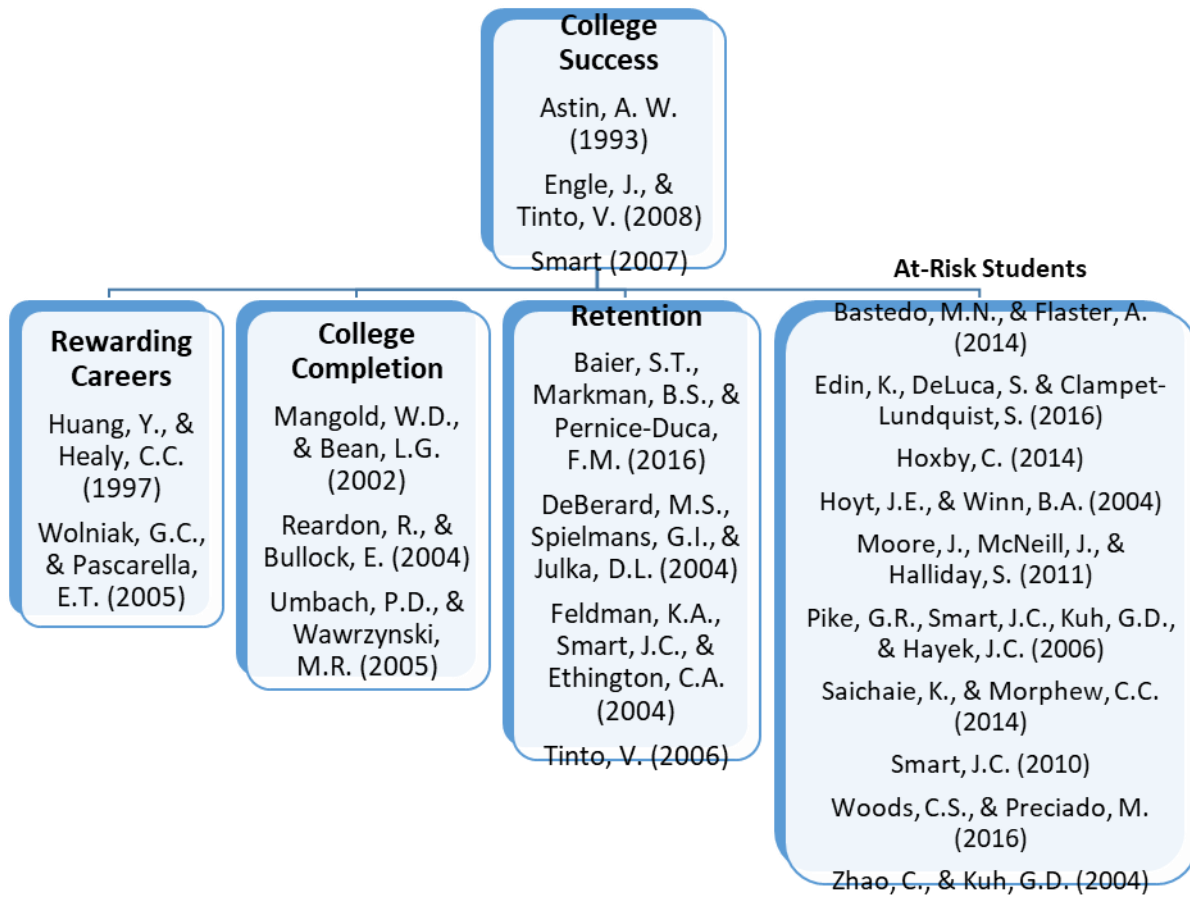
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Appendix A
Conceptual Framework

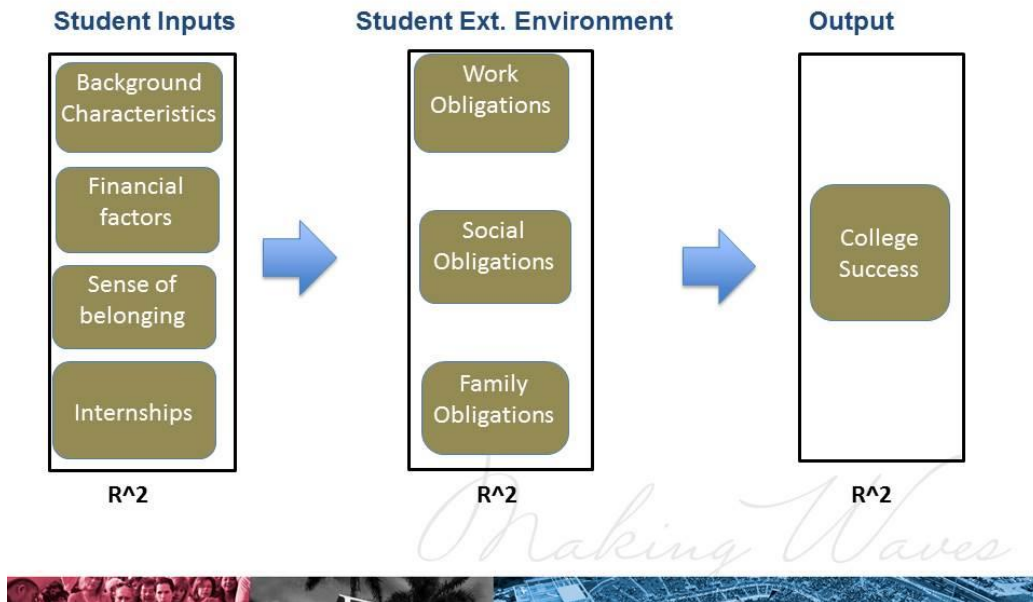


Appendix B
Literature Map



Appendix C
Hypothetical Model

FLORIDA ATLANTIC UNIVERSITY. 



About this Author

A native of Madrid, Spain, Cristina C. López (cclopezv@gmail.com) is a higher education administration professional with more than 17 years of experience in academia, non-profit, and corporate sectors. Currently, she is Director of Career Services at St. Thomas University in Miami Gardens, Florida. She is a third year Ph.D. student in the Higher Education Leadership program at Florida Atlantic University, and holds a Master of Arts in Communication Arts and a Master of Business Administration from St. Thomas University. Ms. López is passionate about traveling and languages, and is fluent in English, Spanish, and French.

Discussion Questions

1. What is the relationship between program completion rates and student success?
2. Which data tools can be used to best predict achievement of remunerative and rewarding employment of graduates?
3. What is the relationship between academic programs encompassing classroom learning and paid internships, community service, research projects, and college value?
4. In what ways do financial factors affect at-risk students' persistence?

To Cite this Article

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Life Forward

Irma Becerra-Fernández
Administrator, Educator, Scientist



Dr. Irma Becerra-Fernández is the new President of Marymount University in Arlington, Virginia. She was the Provost and Chief Academic Officer at St. Thomas University from October 2014 to May 2018.

Dr. Becerra-Fernández is well known in the higher education community in Miami-Dade County and nationally. She is a recognized scholar who has served in many positions at Florida International University and in the community at large. Her credentials, experience, and vision will support our progress in becoming the leading Catholic university in the Southeast.

Her research focuses on knowledge management (KM), KM systems, business intelligence, enterprise systems, disaster management, and IT entrepreneurship. She has studied

and advised organizations, in particular NASA, about KM practices. She founded the FIU Knowledge Management Lab and has led multi-million dollar projects as principal investigator from the National Science Foundation, NASA (Headquarters, Kennedy, Ames, and Goddard Space Flight Center), and the Air Force Research Lab to develop organizational KM strategies and innovative KM systems.

She has published extensively in leading journals including the *Journal of MIS*, *Decision Sciences*, *Communications of the ACM*, *European Journal of Operational Research*, *IEEE Transactions on Engineering Management*, *ACM Transactions on Internet Technology*, *Knowledge Based Systems*, *International Journal of Expert Systems Research & Applications*, and others. She is an author of the books *Business Intelligence: Practices, Technologies, & Management* (Wiley, 2010), *Knowledge Management: Systems and Processes* (M.E. Sharpe, 2010), and *Knowledge Management: Challenges, Solutions, and Technologies* (Prentice Hall, 2004), and co-editor of the monograph *Knowledge Management: An Evolutionary View of the Field* (M.E. Sharpe, 2008). She has delivered many invited presentations and keynote speeches at many NASA Centers, the NAVY Research Lab, universities around the world, and many international conferences with both an academic and a practitioner focus. She was a prior faculty director for the Masters in MIS and the MIS Ph.D. programs, and serves on the editorial board of the *International Journal of Knowledge Management*, *International Journal of Knowledge and Learning*, and the *International Journal of Mobile Learning and Organisation* among others.

Dr. Becerra-Fernández was the recipient of the 2014 *Miami Today* Bronze Medal Award for outstanding contributions to Greater Miami, the 2013 Educator of the Year by Great Minds in STEM, the 2012 In the Company of Women Award for Education and Research by the Mayor of Miami-Dade County, the 2011 Engineer of the Year Award by the Association of Cuban Engineers, the 2004 Outstanding Faculty Torch Award presented by the FIU Alumni Association, the 2006 FIU Faculty Teaching Award, and the 2001 FIU Faculty Research Award. She served as the Americas Region representative to the Association for Information Systems Executive Council. She has served as the faculty director for the Masters in MIS and the director of the MIS Ph.D. Program. Finally, Dr. Becerra-Fernández was the first female to receive a Ph.D. from FIU's Engineering Program. She earned her Ph.D. in 1994 in electrical engineering and her Master's and Bachelor's degrees, also in electrical engineering, from the University of Miami.

Interview

by Hagai Gringarten

Editor-in-Chief, *Journal of Multidisciplinary Research*

Q1. Life is about stories. Do you have a favorite story you use as an icebreaker?

A lot of stories, but one of the ones that students love to hear the most is about when I was a junior in college and an electrical engineering student. I didn't start out knowing that I was going to be an engineer and changed my major a few times, like many students do.

I never really used electronic components in my life, and generally those who did were guys. I didn't know what resistors looked like, I was completely lost in the lab, and I also made a lot of mistakes. One time, I burned the transformers because I didn't know what I was doing, and since my classmates didn't want to me to ruin the group grade, they didn't let me touch the transformers, and I felt very challenged.

I like to tell this story because I think everyone should know that we all struggle with different things, but the subjects that are harder for you to grasp just require you to work a little harder in that area. I could have just left it alone and allowed my group to do the project for me and gotten an easy A, but I felt that by doing this, it would not help me to learn.

When I graduated, I was going to continue my Master's degree and wanted to become an instructor. When it was time to decide what to teach, I picked the subject that I had the hardest time with, which was electronics, and I become an electronics instructor. I recognized that by becoming an instructor, I would become better at the area that I had the most difficulty in. The other day, I was listening to this author with this interesting book called *Diversity Matters*, and one of the things that resonated with me about the research that was presented was the concept of people who are in a diverse environment work harder vs. when everybody is the same and gets comfortable, but when I was the only woman in a class of all guys, I had to work harder to overcome the fact that I was diverse.

Q2. What are the top three characteristics that contributed to your success?

The first one is tenacity, meaning that when you fall down you get up and try again. Second is finding the positive that came out of a situation or using it as a learning moment. I want to know how I can use an experience to help me prepare for the next time; even if it was a bad experience, it helps you to grow. Third is being a hard worker. I give everything I do 120%, and I really have a hard time with people who are negative and don't work hard. I don't know one successful person who has gotten to where they are today without working hard.

Q3. What life-changing events or decisions have guided your career?

When I became a mom. I had been working as an engineer for 6 years, and it was very challenging. I was in charge of a power systems grid, and it was very technical and demanding. This job didn't provide much flexibility and sometimes required me to work 10, 12, 14, and sometimes even 24 hours continuously.

At that time in my life, flexibility was very important, and that is why I decided to go back to school and get a Ph.D. It was a great life-changing event because I wouldn't be where I am now.

Q4. Tell us of any expressions your parents often repeated with you?

The importance of education. My parents left Cuba when I was 8 months old because of the Communist regime and lost all of their assets. My parents and my entire family left and couldn't take anything with them. However, my parents and grandparents would always say "No one can ever take away your education. Get a good education because no one can ever take it

from you.” It was based on their experience from losing everything that I had also become passionate about education – understanding that if anything ever happens, I can go anywhere and start over again.

Q5. What is the biggest misconception about how to achieve success?

Figuring out what is the right pace or change. Not everyone has the capacity for change in an organization, and it’s very hard to have some sort of pace during change. If you don’t move fast enough, you don’t get anything done, but if you move too fast then there is a little bit of discomfort.

I exercise regularly and my trainer helps me to stretch. During one of my sessions, I realized that when you stretch, it has to hurt a little in order to be effective, and the job of my trainer is to help me with that. In the same way, with an organization, it’s going to hurt a little to bring change, but it’s my job to help find right pace for my team. While it may be comfortable to not change, it’s important to know that every successful organization has constant change.

Q6. What books have you read lately?

Lately, I’ve been listening to books with this app called Blinkist. I will listen to summaries of the best sellers while I’m driving. I usually listen to a lot of leadership or spiritual books like *The Book of Joy* by the Dalai Lama and Desmond Tutu, *The Snowball* by Alice Schroeder, and *Flow* by Mihaly Csikszentmihalyi.

Q7. What elevator speech would you give children about success in life?

Work hard, and find your passion in life as well as do the right thing because you always need a guiding light. For me, this is my students, and whenever I have a difficult decision to make, I always find the answer based on what is best for my students.

Q8. What is the best advice you’ve ever received, and who gave it to you?

All kinds of people – I don’t have a specific one. I look for those learning moments and they could be from anyone. They could be from my students, kids, colleagues, boss, friends, or even my hairdresser. I am a person who is open to advice and learning and growing. Sometimes, I am surprised to find something where I least expect it, such as what I learned about organizations and change while I was stretching.

Acknowledgement

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Review Article

Book Details

Wiessner, S., Ed. (2017). *General theory of international law* (Series: American Classics in International Law, Volume 1). General editor W. Michael Reisman. Leiden, The Netherlands, and Boston, MA: Brill-Nijhoff, xiii + 534 pages, hardcover, ISBN 978-9-004-33845-6.

Reviewer

Carol L. Castleberry, Esq., LL.M.

Synopsis and Evaluation

What is international law? In *General Theory of International Law*, Siegfried Wiessner provides readers with a selection of specifically American⁵ general theories of and about international law. The frameworks of ideas he presents include the very concept of international law, its justification, the struggle between formalism and experience, various theories of legitimacy and fairness, the law's effectiveness, empirical analysis, critiques from the margins and the center, and approaches to its improvement. His particular focus is on American Legal Realism, the New Haven School of Jurisprudence, International and Transnational Legal Process, Liberal Theories of International Law, and theories that link to social sciences, including Law and Economics, Critical Legal Studies, LatCrit, TWAIL, and feminist approaches to the discipline.

Siegfried Wiessner is a Professor of Law and the Founder and Director of St. Thomas University School of Law's Graduate Program in Intercultural Human Rights in Miami, Florida. He earned his LL.M. degree at Yale and his Dr. iur. at Tübingen University. Professor Wiessner is the author of numerous books and articles in the fields of international law, constitutional law, human rights, Yale's distinctive problem- and policy-oriented jurisprudence, the law of armed conflict, arbitration, space law, and refugee law. He is the author of a book on the function of nationality, co-author of the casebook *International Law in Contemporary Perspective*, and Editor-in-Chief of Martinus Nijhoff's *Studies in Intercultural Human Rights*. He is an internationally known author and expert on the law of indigenous peoples. In 1999, Professor Wiessner laid out his argument in the *Harvard Human Rights Journal* that customary

⁵ "American" here refers to persons or things related to the United States of America.

international law protects indigenous peoples' rights to land, self-government, and cultural traditions; he chaired a global experts' review of this position, leading to the International Law Association's 2012 confirmation of those rights. Professor Wiessner's has dedicated his life's work to shaping the law to create a world public order that respects and fosters human dignity.

Wiessner's Introduction to this volume, which W. Michael Reisman describes as "an intellectual *tour de force*," places this selection of American theories into historical context, threads together the sequence and interrelation of their development in the midst of contemporaneous political and philosophical movements, and critically appraises them. He traces the unique historical context and conditioning factors that have impacted the vision of America's decision-makers and scholars as to international law's place in America's relations with other nations and its role in International Law. He begins with the doctrines of discovery, conquest, and self-determination, and American greatness and exceptionalism expressed in beliefs in Manifest Destiny, a *Shining City on a Hill* and the Monroe Doctrine of hegemony over the Western Hemisphere. Next, Wiessner describes the move from traditional theories of natural law and legal positivism to the rise of the genuinely American creation of legal realism. Here begins Part 1 of this volume.

Legal realism is a proactive theory of law conceived and explained by Roscoe Pound in his 1923 *Philosophical Theory and International Law*, the first in this collection of "American Classics." Pound saw law as a tool of social engineering to maximize satisfaction conflicting demands and claims of all with the least friction possible. Pound's use of social science methodologies to explain legal decisions and structures influenced subsequent theories of law and economics, critical legal studies, feminist theory, and critical race theory.

Part Two features Hans J. Morgenthau's 1940 article *Positivism, Functionalism, and International Law*, in which Morgenthau describes the reality of international law as replacing authoritative decision with a competitive contest of naked power resulting in changes of existing legal order by the winners who can sanction its violations, forcing the less powerful to obey.

Part Three is a trio of chapters from the New Haven School of Jurisprudence. Myres S. McDougal's 1952 editorial comment on *Law and Power* reacted to what he saw as Morgenthau's over-simplification of their role in international law. McDougal and policy scientist Harold D. Lasswell developed a realistically redefined approach in which power itself is only part of a more comprehensive and interdependent social process of authoritative controlling decision with control intent in which participants' bases of power over other people also include formal authority, effective control over resources, and respect, skill, wealth, enlightenment, safety and well-being, rectitude (ideas of right versus wrong), and loyalties (affection). This theory of law comprehensively analyzes social problems to find solutions that further the goal of a world public order of human dignity. It critically analyzes past and future trends in decision and conditioning factors that shaped them to tailor a solution to the particular problem and shape the law toward that solution.

The second chapter of the New Haven trio comes from W. Michael Reisman's 2007 General Lectures at The Hague Academy of International Law. *The Quest for World Order and Human Dignity in the Twenty-First Century: Constitutive Process and Individual Commitment* describes the most recent formulation of the New Haven School's critical aspects. Reisman elaborates on the inverse relationship between the degree to which legal arrangements reflect the interests and values of those whom legal arrangements affect and the level of enforcement necessary. He describes the world constitutive processes of decision-making as a complex

process of seven component functions to arrive at decisions that serve human beings and allow them to not only survive, but also flourish.

The third chapter of the New Haven School trio is from a 1999 symposium contribution by Siegfried Wiessner and Andrew Willard, *Policy-Oriented Jurisprudence and Human Rights Abuses in Internal Conflict: Toward a World Public Order of Human Dignity*. It expounds upon the processes of policy-oriented jurisprudence--in the context of human rights abuses--to achieve minimum public order, eliminate unauthorized coercion and violence, and advance toward an optimum public order by establishing sustainable decision processes that continue to deepen and widen enjoyment of all values by all human beings, neglecting no one. Its basic framework can be used for any problem. Here, Wiessner and Willard provide a concrete example of application of policy-oriented jurisprudence to craft alternatives and recommendations applicable to large-scale human rights atrocities.

In Part Four, Harold Hongju Koh's 1996 article *Transnational Legal Process* answers a critical question: why nation-states and other transnational actors obey or disobey international law. Koh is concerned with determining what processes internalize global rules such that they are habitually obeyed. He identifies three phases. A transnational actor provokes an interaction that forces another party to interpret, enunciate, and internalize applicable global norms, motivated by perceived self-interest, to bind the other party to obey that interpretation. The newly generated rule then guides future transactions. These in turn more deeply internalize these norms.

Part Five, *Liberal Theories of International Law*, includes four chapters. Louis Henkin's 1995 *International Law: Politics and Values* continues Koh's theme of why nations obey international law. He theorizes that external inducements and internal motivations of individual states create an "international culture of compliance." Henkin echoes the New Haven School in stating that international law's function is to promote order, and that values guide it. He laments that the primary guiding values are selfish state values, with no commitment to the greatest good for all, or even for the greatest number of people or states. However, Henkin does see movement toward human values that transcend those of the state.

John Rawls' 1993 article *The Law of Peoples* expands to international law his theory of "Justice as Fairness" as a well-ordered society governed by a social contract conceived under a hypothetical "veil of ignorance," forgetting decision-makers' actual position to adopt policies fair to even the least advantaged members of society—ideas compatible with the New Haven School's principles of a well-ordered society and human flourishing. He sets forth seven principles of justice that apply internationally to both free and democratic peoples and to hierarchical peoples, with regimes that refuse to comply designated as outlaw entities to be brought into compliance by denial of aid or use of force.

Thomas M. Franck's approach in his chapter *Fairness in International Law and Institutions* (1995) is similar to that of Rawls, but emphasizes not only fairness in the sense of distributive justice in the international system, but legitimacy in the sense of procedural fairness. Franck offers indicators of procedural fairness—legitimacy—that also relate to Koh's and Henkin's topic of the likelihood of international actors' obedience. Distributive justice according to Franck is based on the community's shared values, harkening again to the New Haven school.

The final chapter in this section is Ronald Dworkin's 2013 article *A New Philosophy for International Law*. He sees governments that violate their citizens' basic human rights or prohibits them from playing a genuine role in their own government as illegitimate. He presents

a fundamental structural principle called “salience,” mandating that states have a duty to subscribe to codes of practice agreed to by a significant number of states. Dworkin’s ideas draw the reader back to the need for building consensus across cultures to encourage international actors to work together to address global challenges.

In Part Six, W. Michael Reisman’s 1990 essay *Sovereignty and Human Rights in Contemporary International Law* discusses the paradigm shift in the concept of sovereignty in international law from nation-state sovereignty to popular sovereignty—that the consent of the governed determines government legitimacy. The system’s purpose is no longer to protect sovereigns, but to protect people.

Part Seven, Jack L. Goldsmith’s and Eric A. Posner’s 1999 article *A Theory of Customary International Law*, uses game theory to explain why international actors create and/or comply with customary international law—or deviate from it—based on self-interest. They conclude that the primary determinant of international behavior is changing interests and relative power—reminiscent of Morgenthau’s theory of law and naked power. This article’s density and compactness may detract from its ability to communicate its message to a wide audience.

Parts Eight and Nine focus on the critique of international law from the margins. David Kennedy in his 1988 article *A New Stream of International Law Scholarship* tries his hand at describing what law “really” is. He pictures law as an attempt to project a stable relationship between what is posited as law and what is posited as society. Kennedy characterizes international law as a battle between two rhetorics. The rhetoric of peace through cooperation promises that law will achieve world peace; it has process but not yet the substance of any reality of peace. The competing rhetoric of force stresses sovereign autonomy trying to achieve cooperation and resulting in violence as a central factor. Kennedy concludes that international law is conditioned less by persuasion than political interest and power, with deeds more than words constituting international law. He is convinced that the secret of international law’s success is its indeterminability.

Makau Mutua’s 2000 *What is TWAIL?* describes Third World Approaches to International Law, a coalition movement opposed to the international law regime as designed to sustain global conquest and imperial expansion and to subordinate non-European peoples. It seeks to understand and change the bond between law and racial power and to construct an alternative norm of international law that is nonhierarchical, counterhegemonic, and that rejects claims of universality of European experience and thought.

The final selection in this volume, Catherine A. MacKinnon’s 2006 piece *Are Women Human? and Other International Dialogues*, presents feminism as a theory of women’s status, forged to deal with sexual inequality extending through all aspects of life and social order from intimate relationships through the state, which calls for rethinking everything presumed universal from the point of view of male power. Feminist legal theory, like other critical theories included in this book, is grounded in the reality of women’s experience of powerlessness and invisibility—in the concrete “what is”—as the basis for conscious political action. The practice of this theory transforms the definition and standard of equality by including women under it and, by having the standard applied to women, changes the reality the standard governs.

This book brilliantly elucidates America’s prophetic and reformist role in international law theory. This is no surprise in light of Wiessner’s description of America’s vision of itself as a leader of thought, the star of that “shining city on a hill.” America is the nonconformist,

revolutionary, and scrutinizer of what is beneath the façade precisely because of this vision and its quest to determine what roles America should play on the international front.

The sequence and construction of this book reflects the New Haven School. It delimits the focus of its inquiry—what are the classic and specifically American general theories about international law—and then elucidates the roots and process of development of American legal thought, including the conditioning factors that contributed to each theory. This reader—and I expect other readers who turn to this volume—want to know what “constitutes” international law— not the myth, but the functional reality and operational code. What really drives it, forms it, makes it work? Who is “that man behind the curtain?” It portends a continuing future trend of groundbreaking American legal scholarship about international law. All readers interested in the Theory and History of International Law will appreciate this book.

About the Author

Carol L. Castleberry, Esq., LL.M. (ccastleberry@stu.edu), is Assistant Professor of Academic Success at St. Thomas University School of Law. She is a graduate of Vanderbilt University, Stetson University College of Law, Loyola University Chicago, and St. Thomas University School of Law. Her research interests include the Global Culture of Bullying, Human Rights, and Social Justice. Before joining the St. Thomas faculty, she served as Senior Staff Attorney for the Honorable Edward C. LaRose at the Florida Second District Court of Appeal. Professor Castleberry taught Social Justice as an adjunct at the University of South Florida from 2011 to 2013. She has guest-lectured at Stetson University College of Law’s *Race & the Law* class on *The Steps of Social Justice Advocacy* and at Yale University’s *Society and Natural Resources* class on *What Factors Make Babies into Children and Adults with Predispositions to Bully Others and How Can Predispositions Be Changed to Respect Human Dignity?* She is the author of *A Human Right to Health: Is There One and, if So, What Does It Mean?*, 10 *Intercultural Human Rights Law Review*, 10 (2015), 189, and was a presenter on *The Global Culture of Bullying and Human Rights* at the 2017 Policy Sciences Annual Institute.

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“Smashing Splashing Pelican”

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Book Review

Book Details

Frankland, J. (2017). *InSecurity: Why a failure to attract and retain women in cybersecurity is making us all less safe*. London, Great Britain: Rethink Press, 346 pages, \$26.99, paperback, ISBN: 9781781332696.

Reviewer

George Antoniou, Ph.D.

Synopsis and Evaluation

The *InSecurity* book explores ideas for solving the gender imbalance in information technology with focus on the field of cyber security.

The book has three main sections: The first section is “The Assumptions.” In this section, the author describes how women play a minor role in cyber security field due to diversity. The second section is “The Challenges.” In this section, the author describes the problem in detail. The third section is “Call to Action.” In this section, the author identifies some possible solutions.

This book is an excellent source for practitioners and academics to understand and address why a failure to attract and retain women in Cybersecurity is making us all less safe. There is a worldwide shortage of cyber security individuals although millions of jobs are available and unfilled. The author quotes an (ISC)2 statistical report that shows that only about ten percent of women are working in cyber security. The author makes a strong point: "we got here because of our culture in cyber security field". However, the fact of matter is that the culture in the industry is not inclusive of women. The author does extensive research into the issue and presents some viable solutions, explaining how women bring a different perspective to cyber security. This is backed-up with research showing how diverse groups function better, work together better, perform much better and produce better results. The author points out that since women are generally more risk averse and compliance focused, they will improve the overall level of cyber security and reduce risk. The author explains that because of women's nature to remain calm, they can assist in incident handling and remediation in a much smoother way in the event of an incident breach.

The author attacks the subject head on and shows her passion as a woman in the cyber security field. That makes this book significant because it is addressing women in cyber security and making it clear that the gender gap is a serious issue in the field of cyber security and one the industry needs to address from early schooling days and involve parenting, the movie and media

industries, and more importantly, the industry. One of the problems the author addresses is the importance and lack of men influencing young girls by speaking at schools or mentoring them throughout their careers in cyber security. There are also other external factors, such as laws, that the industry needs to address to reduce the gender gap and salary equality. Another possible factor is the nature of the cyber security field. As a job that typically requires on-call availability 24x7, women may not find it attractive as a career.

The author provides good strategies for attracting women in cyber security and provides practical advice to women who want to pursue a career in cyber security. With cyber security skills and job shortages on the rise, both women and men would be benefit by reading this book.

In the Author's Own Words

"The more I asked cybersecurity women from around the world about their experiences the more I discovered a pernicious trend" (p. 3).

"Again and again pattern emerge of women in cybersecurity being treated unfairly at the interview stage or being bypassed for jobs or promotions just because they're outside of the status quo. Men tend to be judged on their potential, women on their performance. Women are still seen as being a little more risky than men, too" (p. 344).

Reviewer's Details

George Antoniou, Ph.D. (gantoniou@stu.edu), is an Assistant Professor Cyber Security Management at St. Thomas University where he teaches cyber security management. His area of expertise is in Cyber Security Management, and his research interests include developing effective information security policies, cloud security, blockchain identity access management, and cyber awareness. Dr. Antoniou holds a Ph.D. from Nova Southeastern University (NSU) in information security policies. Prior to joining, St. Thomas University, he held positions in information security at various Fortune 500 corporations.

To Cite this Review

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Book Review

Book Details

Aldana, R., & Bender, S., eds. (2018). *From extraction to emancipation: Development reimagined*. Durham, NC: Carolina Academic Press, 320 pages, \$59.00, paperback, ISBN: 978-1-531-01018-8.

Reviewer

Jay Silver, J.D., LL.M.

Synopsis and Evaluation

Just as the twentieth century marked the decolonization of much of the unindustrialized world, the economic globalization of the twenty-first century has marked its corporate re-colonization. Until independence movements took their toll on the old colonial powers, their governments were good at the blunt-force tasks of occupying foreign lands and extracting natural resources. With the emergence of self-rule in resource-rich, undeveloped nations, though, it took the finer touch of domestic and transnational corporations to build the economy of an underdeveloped country and allocate the surplus in what appeared to be a politically acceptable – although, in reality, immensely imbalanced – manner.

And so the growth of emerging economies and concomitant metrics have been the principal focus in the analysis of today's corporate colonization.

Until now.

With a keen collective eye, the contributors to an insightful new book, *From Extraction to Emancipation: Development Reimagined*, use the economic development of Guatemala as a template in explaining the vast, often hidden or ignored human and environmental costs of development symptomatic of emerging economies and offer a broad set of measures to better safeguard the land and human rights of its indigenous occupants. The book emerged from a group of lawyers and legal academics from various countries who gathered in Guatemala in the summer of 2015 to study the relationship of the government – and particularly that of a failed state – with the national and transnational corporations driving development and to examine the consequences.

The book, edited by Associate Vice Chancellor Raquel Aldana of the University of California at Davis School of Law and Associate Dean Steven Bender of the Seattle University School of Law, was published earlier this year. The analysis is divided into five parts, each

containing several chapters. The first part offers a variety of measures, including voluntary codes, regulations imposed by government and private corporate lenders, and direct government regulation, to make corporations recognize and respect the common interest.

The second part describes the corporate ravaging of the environment and offers measures to protect and replenish it. The harms discussed include deforestation, unregulated mining, the contamination and depletion of the water supply, lack of community sanitation, and the turning of a blind eye to climate change.

Part three describes the absence of self-determination of rural and indigenous communities with respect to the use of their natural and human resources and the unchecked authority divvied up between the central government and the corporate powers guiding development. Proposals to attenuate the influence of developers over applicable law and to strike a fairer balance between local and central authority over development are put forward by the contributors to this part.

The fourth part zeroes in on the failure of the central government to adopt or enforce laws against worker and environmental exploitation as a means of enticing and sustaining the presence of corporate developers, and – if and when the state moves to protect the population – of the reliance of transnational corporations on arbitration provisions in international trade agreements permitting them to recover lost profits.

The fifth and final part of the book traces the web of causes – including gangs, a culture of domestic violence, state indifference, and corporate exploitation – of the massive migration of abused and endangered women and children to nearby countries seeking a safe haven.

One highlight of the analysis is the very first chapter on “Corporate Social Responsibility in the Americas: Fact or Fiction?” by University of Miami law professor Marcia Narine Weldon, who, in the context of Guatemala, shows that partial responsibility for what we see as corporate exploitation lies at the foot of the state by virtue of its inordinate allocation of natural and financial resources to the corporations. Another highlight is the final chapter on “Gender Violence, State Action, and Power and Control in the Northern Triangle” by Professor Lauren Gilbert of St. Thomas University School of Law that deftly draws the connection between the Central American culture of violence against women and the flight of imperiled women and children to the U.S. and other countries on the one hand, and the largely unexplored history of state-sponsored – rather than strictly gang-related – violence against women on the other.

The perceptive contributors to *From Extraction to Emancipation: Development Reimagined* have achieved the ambitious goal of the title. In the clear and fluid styles of each chapter, a broad selection of the hidden and not-so-hidden costs of economic globalization are explored with a fine hand, and a number of well-conceived measures to promote the rights and protect the lands of indigenous populations are sketched out. *From Extraction to Emancipation: Development Reimagined* thus provides an important examination of the perils of today’s dark alliance between central governments of poor nations across the globe and the national and transnational corporations that trigger and sustain economic growth and influence law, and is a valuable addition to the library of anyone interested in better understanding today’s swiftly developing and interconnected world.

In the Author's Own Words

"Guatemala's story is global and international. . . . Guatemala as a nation is experiencing tremendous social upheaval from the negative consequences of acts of corporations alongside the state that include environmental degradation, water depletion and contamination, forced displacement, and labor exploitation, to name a few. . . . Caught between the state and corporations are the communities most deeply affected by both the absence and the presence of law in ways that appear to conflict with the public interest.

"The questions that arise in this book include how law can and should restore the proper balance between the promotion of investment and economic development with the protection of the public interest and the preservation of the public good. These inquiries also involve issues related to the protection of rights, whether of individuals or communities in the collective, including the right to self-determination, the right to water, and the right to dignified work."

Reviewer's Details

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The *Stories of Resilience, Courage, and Spiritual Transformation* is a compilation of student essays written by Puerto Rican students who fled Puerto Rico after Hurricane Maria and moved into the arms of St. Thomas University in Miami, Florida. The narratives captured in this book accurately chronicle the impact this natural disaster had on their lives. These are stories of survival shared by a courageous and resilient group of young adults.

Each student describes the devastation they experienced – days without food, water, gas and the means to communicate. Each one expressed the apprehension they felt about leaving their families and loved ones. For some, this would be the first time venturing out on their own.

Reading these essays will move you to experience a diversity of emotions. Each student will take you on a journey; one filled with uncertainty, fear, anxiety, courage, resilience, and hope for a better future.

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