

The cover features a solid blue background with white geometric lines. A vertical line on the left and a horizontal line at the top intersect. Another vertical line on the right and a horizontal line at the bottom intersect. The title is centered between these lines.

JOURNAL OF
Contemporary Development &
Management Studies

Volume 6

Autumn 2018

ISSN 2052-6797

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The *Journal of Contemporary Development and Management (JCD&MS)* is a national peer-reviewed journal dedicated to connecting research to practice. *JCD&MS* recognises the value of qualitative, quantitative and mixed/interrelated methods in analysis of data. The journal seeks to be relevant both to a core disciplinary constituency of Alternative Providers of education, of Universities as well as a broader readership. It is the official research journal of London Churchill College (LCC) and actively encourages contributions from individuals and other educational institutes.

All manuscripts published in *JCD&MS* are double-blind peer reviewed by accomplished scholars in the subject area of the manuscript and in the disciplinary approach used.

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Contents

Introduction	04
<i>Tommie Anderson-Jaquest, Principal Editor</i>	
Contributors	06
Editorial: Education and Life: failings in the education system	08
<i>Edmund Wright</i>	
The rationale and strategy available to the UK for developing a transnational higher education provision.....	09
<i>Nazim Uddin and Nick Papé</i>	
Higher Education Enhancement and Privately-owned Institutions in Developing Countries.....	18
<i>Priyangani Ariyawansa</i>	
Using twin lenses from psychodynamic and sociocultural theories to investigate what facilitates learning on psychodynamic psychotherapeutic courses.....	28
<i>Nick Papé</i>	
Entrepreneurship and Innovation: Tackling business failures in the UK through developing a prior-learning model.....	57
<i>Arif Ahmed Sunny</i>	
The Syrian Identity (1): An exploration of the legacy of colonialism illuminating the Diaspora of a nation	66
<i>Isabel Morrell and Nick Papé</i>	
A Developer's Guide to Enhance Software Security	79
<i>Mahin Talukder</i>	
Emotional intelligence and its impact on negotiation and mediation in the workplace	94
<i>Arif A. Sunny</i>	
Murabaha Financing and Islamic Banking in Bangladesh: a case study.....	100
<i>Mohammad M. Hasan</i>	
Guidelines for Journal Contributors	107

General theme 'Education'.

Introduction

Diverse approaches have been taken to education in the articles published in Volume 6 of the *JCD&MS*. Focus has shifted towards the exploration of issues affecting contemporary development at national and international levels in more breadth than has previously been the case. Despite the diversity of topics explored and approaches taken, all of the contributions in this volume are linked to educational issues impacting upon social wellbeing, whether focused upon the provision of background knowledge deemed essential for understanding the complexities of current international conflicts or dealing with recent approaches to software security.

In 'Education and Life: failings in the education system,' Edmund Wright takes the view that subject competency and skills associated with traditional education are insufficient for meeting the educational needs of modern society. Although classical competencies in English, Mathematics, Sciences and Languages should still be encouraged, the importance of emotional and cognitive development and the acquisition of life-long skills in comforting people and putting them at ease or getting one's ideas across to others may be even more essential.

In the article on transnational higher education provision (TNE), Nazim Uddin and Nick Papé make the case that the UK is well positioned to become more involved in transnational higher education by virtue of its educational pre-eminence and global reputation. They argue that substantial opportunities exist to develop TNE institutions in the UK that are capable of benefitting a wide range of potential students. On the basis of research undertaken, recommendations are made about the features one should expect to see in optimal transnational HE institutions.

Priyangani Ariyawansa's article on privately-owned HE institutions in developing countries focuses upon prospects for enhancing student opportunities in Sri Lanka. Research collected indicates that Sri Lanka's public Universities are not able to meet the entry demands for all of its highly qualified prospective applicants, and, as a result, the lack of university graduates has exerted a negative impact upon the Sri Lankan economy. She argues that private HE providers in Sri Lanka can address this shortcoming, providing quality requirements are met. In her view, private HE Institutions have a positive part to play in improving prospects for HE education in developing countries.

Nick Papé's article explores the use of psychodynamic and sociocultural theories to investigate what facilitates learning in psychodynamic psychotherapeutic courses. His investigations indicate that the psychodynamic approach to psychotherapy contains no intrinsic theory of learning and teaching. In his view, psychotherapy should not be isolated from education. Adopting a twin lensed approach that combines therapeutic and educational processes should empower teachers, researchers and students.

Arif Ahmed Sunny's article on entrepreneurship and innovation explores the reasons prompting high failure rates of small enterprises in the UK. The issue is regarded as particularly significant, given the importance of entrepreneurial endeavours and small business development to the UK's future economic growth and development. Key factors prompting failure are identified, and, on the basis of research findings, a model framework is

developed to facilitate learning and improve prospects for success in small entrepreneurial ventures.

Isabel Morrell and Nick Papé have chosen to explore issues relating to the current crises affecting the Syrian population. Their research findings have been organised into three separate articles: one of which appears in this volume; the other two articles will be published in Volume 7, Issues 1 and 2 of the *JCD&MS*, respectively. In this volume, the authors explore the legacy of colonialism with a view to assessing its impact upon the development of a national Syrian identity. Research findings indicate that colonisers are responsible to some degree for the identity crisis that has developed in that country.

Mahin Talukder's article on software security seeks to acquaint readers with recent technological approaches aimed at preventing intrusions into software programmes and systems. Focus is placed upon exploring current approaches to code obfuscation, including programme slicing, that increase the code complexities, thereby reducing prospects for hostile intrusions into software systems. In his view, an approach that combines programme slicing with code obfuscation would improve prospects for software security in commercial ventures.

Arif A Sunny's second contribution to this volume investigates the impact of emotional intelligence upon negotiation and mediation in the workplace. Major patterns of conflict and the emotional triggers likely to impede successful negotiations are identified. On the basis of research findings, recommendations are made for maximising the use of emotional intelligence in the negotiation process.

Mohammad M. Hasan seeks to inform readers about Murabaha Financing in Islamic Banking: in particular, approaches advocated by the Islami Bank of Bangladesh Ltd. Financing arrangements undertaken through Murabaha are compared with those practiced by traditional Western banking establishments, and distinctions are clearly rendered.

These brief descriptions of the articles have been provided to encourage readers to reflect upon the diverse topics covered and different approaches adopted that fit comfortably within the broad perspective of education as a basis of academic research, in spite of topic differences. It is hoped that positive impressions will encourage others to contribute to *JCD&MS*, whether submissions are in the form of an article, expressing a point of view, reviewing published work or offering a response to one of the articles put forward in this volume. A number of contribution modes are available and production information is set out in the *Guidelines for Journal Contributors* that appears at the end of this volume.

On behalf of the editorial team,

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Principal Editor, JCD&MS

Volume 6, Autumn 2018

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Mahin Talukder completed his MSc in Advanced computer science with an industrial placement at the University of Kent and obtained his BSc in Computer Science from Cardiff Metropolitan University. He is an active member of the IT and Monitoring team of London Churchill College and has worked as a visiting lecturer at University of East London. Mahin is currently undertaking PHD studies at the University of East London. Software engineering, program analysis, software security, code obfuscation and program slicing are the key areas of his research.

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Nazim Uddin (FCCA, FHEA, MBA, BSc, BBM) is a chartered certified accountant, an academic and an award-winning entrepreneur. He has worked as a lecturer at the University of East London, served as a marker for the ACCA qualification and is currently serving as an external examiner for Newcastle University. Current research interests are transnational higher/vocational education and vocational qualifications.

Priyangani Ariyawansha attained an MSc in International Marketing from Anglia Ruskin University and a BSc in Health, Welfare and Social Care from the University of Bradford. She is in the final stages of completing her thesis for a Doctorate in Business Administration at the University of the West of Scotland. In addition to work undertaken as a lecturer in the UK HE sector, Priyangani also has 22 years of practical industrial experience in business and marketing. She is a Fellow of the Higher Education Institute and holds professional memberships in the Chartered Institute of Marketing (UK) and the Sri Lankan Institute of Marketing. She also holds a CMA qualification from Australia and is an associate member of the Chartered Institute of Management. Current research interests focus upon private sector contributions for enhancing access to higher education,

Editorial: Education and Life: failings in the education system

Edmund Wright

The precept that education gives training for life, for most of us is somewhat wide of the mark. What school teaches pupils is how to select a life partner, sort out income tax, choose a car or anything else that seems to be important in adult life.

Education (primary and secondary) helps to develop the expanding brain and is important to help individuals understand cultural norms leading to a sense of identity, but what happens after that? The strength of education is that it has the potential to teach pupils some well-trying and tested skills, which are easy to teach and easy to assess. Life skills are every bit as valid as subject skills but are more esoteric, much harder to assess and nearly impossible to examine. Such life skills include: emotional development; cognitive skills; the ability to comfort or put people at ease or to get an idea across; the ability to read two dimensional plans and make them into a three-dimensional space, and the ability to read a map, find the way home and know which direction North is without any aids. The list is nearly endless.

What happens at the end of the formal education is that students are tested and, depending on the assessment of one tenth of their skills and knowledge, are categorised and encouraged to embark on careers that may be totally unsuitable because of other life skills, which are typically realised much later in life.

The purpose of education for me is the awakening of the ability to think, to assess and to make decisions based upon rational judgements. The purpose is also to teach others how to co-operate in a practical way with peers to achieve goals greater than those an individual could achieve alone.

There is still a place for the classical formal education subjects such as English, Maths, Sciences, and Languages, but I would like to see other skills being encouraged in pupils: in particular, problem-solving, co-operative behaviour, leadership, emotional stability, the ability to improvise, to entertain, to comfort and to inspire others. This might be considered exotic for the standard comprehensive school, but it can be done and could be fun for both the teachers and pupils alike, in helping to explore less conventional educational assets.

In my view, education has a much larger and wider curriculum than has ever been posted on a notice board. Some of these skills are developed in the school theatre, on the playing field, in the art studio and on the playground. I think that there is an endless curriculum called 'life', which, when

the pupils have learned to think and develop life skills, will help to make society an infinitely better place and stimulate citizens to make better life judgements with fewer tragic consequences.

I appreciate it is easy to write about these matters and much harder to do something about them. There is a huge unharnessed attribute to help us in this task: namely, the digital world. I am encouraged to see youngsters solving problems and developing their minds and capabilities for social interaction through digital devices. What needs to be done is to harness young learners' enthusiasm and make education the greatest adventure imaginable.

The rationale and strategy available to the UK for developing a transnational higher education provision

Nazim Uddin¹ and Nick Papé, PhD

Abstract

This paper considers the rationale for the UK to be involved in the transnational HE landscape by virtue of its excellent reputation, competitive advantage for higher education and for legal, accountancy and professional services. These are the main drivers for the popularity of UK Universities. By understanding how the UK's economic position impacts upon entry to Transnational HE and the entry modes available to the UK, we suggest the preferred entry mode and conclude that there is a substantial opportunity to develop transnational HE institutions within the short and middle term to benefit a wide range of potential students.

Keywords: *Transnational, Higher Education, Academic Partnership, Service-Industry,*

Introduction

In the past two centuries, the English language has become the preferred international language in small and large countries, ranging in size from Singapore to China and Russia. English might not be the most widely used first language in the world; but it has become the pre-eminent and most popular international language. It is a wonderful and fascinating journey to learn how the first language of a small country, situated on a medium sized island- occupying less than 0.17% of the world's landscape and representing just a tiny 0.87% of world population (<https://www.ons.gov.uk>; Worsley, & Kidder 1991), can become the most popular international language. It is a story of a small- to medium-sized country punching well above its weight on the world stage.

The subject of this article is not about English language; so we do not intend to focus on the rationale and methods by which this language has become widely accepted. However, we will aim to use metaphors to make a case for UK higher education providers to embrace the concept of transnational education, to enjoy its benefits and to capitalise on the opportunities presented by its worldwide adoption.

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Transnational education (TNE)

TNE is often defined as the 'provision of education for students based in a country other than the one in which the awarding institution is located (HEGlobal, 2016).

On the other hand, internationalisation is defined as the variety of policies and programmes that universities and governments implement to respond to globalisation. These typically include sending students to study abroad, setting up a branch campus overseas, or engaging in some type of inter-institutional partnership (Altbach *et al.*, 2009).

The definition of TNE would include internationalisation, with cross-border activity whilst individual countries maintain their own national borders, whereas globalisation is this activity repeated in the absence of national borders. Study mobility is viewed as the most obvious constituent, affording students high temporary mobility. The 'Bologna Process' and Sorbonne Declaration, both initiatives by the European Union (EU, 2012) have as a goal to increase the attractiveness of HE at Post-Graduate, Masters and Doctoral study levels for students from other parts of the world and to afford intra-European availability (Teichler, 2002). Of course, the tension between competition on the one hand and cooperation on the other will be

present, and the authors believe that some time will elapse before internationalisation will become a major component of European, let alone Worldwide, HE studies (Vught *et al.*, 2002).

Altbach & Knight (2007: 290) propose that globalisation and internationalisation are related but different. Globalisation is the context of economic and academic trends that are part of the reality of the 21st century. Internationalisation includes the policies and practices undertaken by academic systems and institutions and, even individuals, to cope with the global academic environment. What drives internationalism, they claim, is the need for competitive advantage, to increase language competency and to develop an international syllabus.

On the other hand, the authors of this article, whilst not disagreeing with the above definitions, believe that the focus for developing TNE could be widened to incorporate the support of less-privileged students who do not have the resources available to make use of the benefits described above. The undeniable advantage of increasing educational experience and standards for those whose current limits and prospects are restricted to local opportunities, remains attractive, and we believe this should be the main rationale for TNE.

Competitive advantage in Services

As a knowledge-based economy, the UK punches above its weight among many other advanced economies in relation to knowledge-based service exports (Fuerstner, 2010). The UK has a strong comparative advantage in a wide-range of service related sectors, including banking and finance, law, accounting and education. Its share of export services is around 12% of GDP, compared to about 8% in Germany and France, 4% in the United States and 3% in Japan (PWC, 2016). In absolute terms, the UK is the second-largest exporter of services in the world behind the United States (Asaad *et al*, 2013).

English Language

The rise of English as the dominant language of scientific communication is unprecedented, since Latin was all pervasive in the academy through Medieval Europe. English language has helped to concentrate ownership of publishers, databases and other key resources in the hands of the strongest universities and some multinational companies, located predominantly in English-speaking countries.

Globally recognised awards

Globalisation is not the single largest factor that drives transnational higher education, as evidenced from the limited number of international institutions operating in advanced economies, which have originated in another country, where it also operates. If we use the UK as a case example, only a tiny percentage of foreign universities or higher education providers are operating in the UK.

Multinational companies, highly skilled labour mobility, international migration and opportunities to work in business processes outsourced outside the home country has driven the demand for globally recognised qualifications. This has resulted in students searching to pursue qualifications awarded by world renowned awarding bodies. Consequently, the demand for TNE around the world has been increasing over the years (Jones, 2002; Marginson, 2004; Wyatt, 2001).

Another factor that drives TNE is the shortage of globally recognised awarding bodies in the developing countries. Marginson (2004) argues that transnational education is driven by insufficient supply in local post-secondary institutions, globalisation of the workforce, and the potential prestige associated with holding a foreign degree.

Increasing student mobility

More than two and one-half million students are studying outside their home countries. Estimates predict that the number will rise to seven million international students by 2020. (Altbach, *et al*. 2009).

The mobility of international students involves two main trends. One consists of students from Asia entering the major academic systems of North America, Western Europe, and Australia. The other is taking place within the European Union, as a consequence of its various programmes to encourage student mobility. Globally, international student mobility largely

reflects a South-North phenomenon (Altbach, *et al.* 2009).

Privatisation

The growth of private higher education worldwide has been one of the most remarkable developments of the past several decades. Today some 30% of global higher education enrolment is private. Private higher education institutions, many of them for-profit or quasi for-profit, represent the fastest-growing sector worldwide. Countries with over 70% private enrolment include Indonesia, Japan, the Philippines and the Republic of Korea. The private sector now educates more than half the student population in such countries as Mexico, Brazil, and Chile. Private universities are rapidly expanding in Central and Eastern Europe and in the countries of the former Soviet Union, as well as in Africa. The Middle East and North Africa are also registering private education enrolment, with 'American universities' dotting the horizon in Egypt, Jordan, Lebanon and elsewhere (Altbach *et al.*, 2009).

Global marketing of higher education Growing numbers of education intermediaries internationally have played an important role in marketisation of the higher education. Their diverse services go beyond simply recruiting students. Many of them have set up pathway and foundation courses. These intermediaries promote and undertake market-making activity. Komljenovic and Robertson (2017) recognise the importance and scale of marketing-making and stress that investments and networks play key roles in the process. Some UK and

Australian Universities diversify their income streams by opening-up their provision for international students. In many UK universities, fee income from international students represents a significant portion of their incomes. Many of these universities rely extensively on these intermediaries.

Push by demographic shifts:

There was a temporary demographic realignment in European countries after the end of World War Two. However, since then in relative terms, the population in Europe, although increasing in absolute terms, has declined in comparison to other continents. For example, in 1950, the population in Asia represented 55.5% of the world population. By 2010, it had increased to 60.3%. Similarly, the population in Latin America and Caribbean represented 6.6% in 1950, but, by 2010, had increased to 8.5%. Sub-Saharan Africa's population has increased as a percentage of the total world population from 7.4% in 1950 to 12.4% in 2010 (Shackman *et al.*, 2012). On the other hand, as a percentage of total world population, Europe's population percentage has declined from 21.6% in 1950 to 10.7% in 2010; and North America, from 6.8% in 1950 to 5% in 2010 (Shackman *et al.*, 2012).

To create jobs for the growing younger population, many emerging economies and developing countries have allowed the private sector to play a crucial role, resulting in an unparalleled expansion in higher education, most notably driven by the private sector. In comparative terms, the market for higher education has increased in Asia, Latin America

and Caribbean, and decreased in Europe and North America. According to data published by UNESCO (2015), Japan, the United States and West European countries have seen only moderate increases in student enrolment in tertiary educational institutions between 1990 and 2007. The U.S. Department of Education (2014), claimed that the total undergraduate enrolment in degree granting post-secondary institutions, was 3% lower in 2013 than it was in 2010. Upward and downward trends are likely to continue, according to predictions made by the British Council (2013), which projected that by 2025, the majority of College students in tertiary education will come from developing countries.

Globally, the percentage of students enrolled in tertiary education has grown from 19% in 2000 to 26% in 2007, with the most dramatic gains made in upper middle and upper income countries. There are some 150.6 million tertiary students globally, roughly a 53% increase over 2000. In low-income countries tertiary-level participation has improved only marginally, from 5% in 2000 to 7% in 2007. Sub-Saharan Africa has the lowest participation rate in the world (5%). In Latin America, enrolment is still less than half that of high-income countries. Attendance entails significant private costs that average 60% of GDP per capita (Altbach *et al.*, 2009).

Marketisation

Until late in the twentieth century, higher education was generally considered a public good, but since the 1980s many universities and governments in developed western countries seem to have adopted the view that higher

education is a tradable commodity to be sold for commercial gain (Altbach 2004). Thus, the marketisation of higher education has become very much part of the normative framework (Marginson & Van der Wende, 2007). As TNE often flows from more developed to less developed nations (Naidoo, 2009), the establishment of international branch campuses can be regarded as a new form of colonialism (Welch, 2011). Even though universities generally aim to maximise both revenues and prestige (Slaughter & Leslie 1997), criticisms of TNE might lead some institutions to emphasise their contributions to social and economic development and play down their economic motives and those relating to achieving global recognition and influence. Institutions can even change their declared objectives. For example, after suffering financial losses over many years, Monash University reconfigured the rationale for its campus in South Africa from market enterprise to a de facto aid project (McBurnie & Ziguras 2007).

Growth in Developing Countries

We find a surge in the private higher education institutions not only in the advanced liberal economies but also in the post-communist societies and developing countries. Worldwide, 84 million students attend regular higher education programmes. This figure is constantly rising and likely to be 160 million by 2025, whereas state support in terms of funding per student is declining (Glakas, 2003).

Recent Trends

Recent trends highlight the fact that UK universities now have a broad and diverse range of TNE partners, including private companies, private for-profit education companies, public universities (autonomous and under state control) and government ministries. For example: 'Staffordshire University partners with an autonomous public university, the University of Madras. London Metropolitan University has a partnership with public Nanyang Polytechnic and public health care provider Singapore General Hospital' (HEGlobal, 2016)

Another trend is the increasing interest in distance/ online learning as a form of TNE provision by UK universities. This mode of delivery covers both supported distance/flexible learning and unsupported distance/online learning. Other popular forms have been franchising, validation and various degree combinations: for example, joint, multiple, dual, double and concurrent degree qualifications (HEGlobal, 2016).

According to the 2014/15 AOR data (HEGlobal, 2016):

- Of the 134 UK HEIs in the HESA database, 99 are currently involved in provision of UK HE for involving a total of 665,995 students. Out of which, approximately 43% of all TNE students in the 2014/15 AOR data study with Oxford Brookes University most of whom are registered with ACCA (the Association of Chartered Certified Accountants) as students.
- Over one quarter (28%) of TNE programmes are delivered for students in Asia, whilst the European Union accounts for just under a quarter (23%). Africa and the Middle East account for 14% and 13% respectively
- There are only 15 countries in the world where UK HEIs are not delivering TNE programmes. United Arab Emirates top the list of host countries. Singapore and Malaysia together account for 15% of all UK HE TNE programmes.
- Branch campus registrations are the lowest numbers and just over half of TNE programmes are distance/online learning programmes, and around two out of five are delivered through a local delivery partnership.
- Business and Management programmes account for two out of five TNE students followed by Social Studies and Law which accounts for one in five.
- Almost one half of TNE programmes are undergraduate degrees (47%), with the remainder mostly postgraduate taught programmes (44%).
- Excluding Oxford Brookes, the University of London's International Programmes, the Open University and the University of Liverpool are the largest providers. The University of London is the only provider amongst these to offer distance programmes without local support. For the University of London, it is mostly distance learning, for the University of Liverpool it is a mix of distance and local delivery

partnerships and for the University of Greenwich it is almost entirely local delivery partnerships.

The first overseas exams held in Mauritius in 1865 were for External Degrees offered by the University of London. Currently around 54,000 students are studying over 100 Degree and Diploma programmes in over 180 countries. Two main models are in operation: the first is the independent student model and the second a Teaching Institution model. Students can sit their final examinations locally in one of 650 examination centres, predominantly run by the British Council or local universities. All centres are independently inspected.

Entry Mode into TNE

Transnational education encompasses various facets of delivery at branch campuses abroad (Kinser & Levy, 2005): off-shore institutions established in a host country, franchising cross-national degree programmes by international institutions, distance learning arrangements and virtual universities (Vignoli, 2004; Kinser & Levy, 2005) and partner-supported delivery (McBurnie & Ziguras, 2007).

There are three major types of delivery modes in transnational education services: distance models, in-country delivery models and blended models. (Francois *et al.*, 2016)

Preferred entry modes combine a mode which draws upon the benefits of the existing models. It is evident that Oxford Brookes and the ACCA partnership mode and the University of London's External Programmes are the two most popular models.

Students enrolled for the University of London's and ACCA awards can study independently or study at a recognised third-party institution. The delivery model falls within the category of open, distance and flexible learning. The courses are also taught at third party institutions predominantly owned by small- and medium-sized independent providers in a market where competition is high. Competition on one hand and limited bureaucracy around delivering TNE programmes result in lower operating costs of teaching these qualifications, which then results in the teaching providers charging students reasonably lower fees. Lower fees, highly reputed qualifications and accessibility are factors driving the high demand of these awards.

When students from across the globe enrol for a distance learning programmes, it poses a challenge for the awarding bodies, which need to set up robust assessment arrangements, because of the rise of third party assessment contract providers who can compromise the integrity and reliability of the assessment process. In case of University of London and ACCA, their preferred assessment method is the time-constrained examination.

Examination methods may be robust from the regulatory point of view, but students are increasingly indicating a preference for a predominance of coursework assessment. Time-constrained examinations, whilst not always popular with the student body, appear to satisfy regulators and government bodies whilst offering

the higher education provider a scalable solution to assessing large student numbers (O'Callaghan, C.O., 2017).

Both these models have drawbacks in that the awarding bodies are not the teaching institutions. They are simply assessment providers. Students enrolled in these programmes receive a variable academic experience, and their educational journeys may not sufficiently allow them to enjoy and experience campus life, acquire valuable skills, engage in peer-to-peer learning and acquire the self-motivation requisite for lifelong learning.

Modern qualifications are designed around instilling soft and hard skills among students. They aim to develop behavioral skills which require close collaboration and networking opportunities with all stakeholders including employers. Career conscious students would like career and progression opportunities and stronger alumni groups supporting them throughout their working life and beyond.

Qualifications aim to develop a wide range of intellectual and occupational skills, but many of these cannot be reliably assessed using time-constrained assessments. Creative and , innovative coursework, presentations, examinations, speeches, portfolios and time-constrained assessments are all becoming increasingly important from regulatory and students' points of view.

Conclusion

An optimal transnational HE institution should demonstrate the following features:

- 1) Highly respected qualifications and awards.
- 2) Reasonably inexpensive opportunities for study
- 3) A wide-variety of clear and detailed educational materials
- 4) Ample access to online learning resources
- 5) Provision for campus life experience
- 6) Extended support for employment and career opportunities, as well as for further study
- 7) An effective alumni network
- 8) Global marketing of the awarding brand

Many countries have clear competitive advantages to exploit the global market-place: for example, the United States in technology and military capability; China as an industrial powerhouse, and Germany as a leader of European integration. However, the UK does have a clear, but unexploited advantage: Britain can become the world leader in science and education: a role forged in the furnace of universities and research institutes up and down the country, using students as its fuel.

UK HE providers should make use of technology, online platforms and Britain's global reputation as a highly successful higher education sector to encourage local awarding bodies to become providers of transnational education.

The opportunity now exists for real development in TNE to encourage economically and geographically disadvantaged students to

participate in TNE, which can be developed to benefit providers and students alike.

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Higher Education Enhancement and Privately-owned Institutions in Developing Countries

Priyangani Ariyawansha

Abstract

Higher Education is vitally important to meet the demands of employers in the 21st century. Institutions that deliver higher education are expected to feature a quality framework of generated knowledge that fulfils graduate requirements. One of the major challenges faced by international donors and national governments in developing countries since the 1980s has been to accommodate increased student demand for HE access and, therefore, to develop a better educated workforce. This paper discusses some of the emerging pivotal roles that privately owned institutions in developing countries can undertake to enhance access to higher education. The case of Sri Lanka is used to demonstrate the proposition. In conclusion, the author suggests that privately owned institutions have a positive part to play in charting and enhancing educational frameworks in developing countries.

Keywords: *Higher Education Access, Enhancement, Quality, Economic Growth, Private Sector Contribution, Education in Sri Lanka*

Introduction

In recent years global Higher Education (HE) enrolment has risen sharply. In 2009, for example, 153 million students enrolled in universities, representing a 50% increase over the figure recorded in 2000, and the number is projected to rise to 262 million globally in 2025 (Labi, 2009). The highest percentage of growth has taken place in developing countries. According to Bloom et al. (2009), half of student enrolment in HE emanates from developing countries that have experienced government budget cuts but also economic growth as a consequence of development loans received from institutions such as the IMF and the World Bank. More than 150 million students who enrolled in HE in 2010 came from developing countries. In the coming 20 years most students enrolling in HE will come from developing countries (Altbach, 2012). Due to the limited resources available in the public sector, and, in order to meet the demands of HE access, developing countries have had to delegate authority to the private sector to enhance HE access (Lee and Healy 2006; Abeli 2010).

Since the 1990s HE has dramatically changed in South East Asian countries and European countries including the UK, due, primarily, to high demand. Countries such as China, Malaysia, Singapore and Japan have seen increased student enrolments and growth in HE of over 50% (Huang, 2011). Some

South East Asian countries have established large HE systems with larger enrolments than those existing in European countries such as Germany, France and the UK (Huang, 2011). Rates of expansion seem to indicate that greater access to HE is taking place in South East Asian countries than is the case in Europe. However, that view has been counterbalanced by the fact that European countries, including the UK, continue to record increased enrolment figures for international students, thereby reducing domestic demands for indigenous HE growth in South East Asian countries such as India, Sri Lanka and Bangladesh. As a consequence, governments in those countries have been slow to acknowledge the positive correlation that can exist between private HE provision and the enhancement of HE access in respect of widening access and accommodating domestic demand (Wilkins, Balakrishnan and Huisman).

The situation in Sri Lanka

Very little research has been carried out that specifically focuses on HE in Sri Lanka other than reports published by the World Bank, the Central Bank of Sri Lanka and the British Council. It is the hybrid nature of a few Sri Lankan private and public universities that the author considers worthy of the study. HE in Sri Lanka is important to economic development, since the country has experienced rapid growth due to the private sector's contribution to HE provision (World Bank 2015). Yet student numbers are still falling short of the Sri Lankan Government's HE enrolment targets.

HE in Sri Lanka is expected to play a vital role in the future. The country is no longer predominantly agrarian and is looking to develop other sectors for accelerated economic growth (Central Bank, 2005; 2007; 2009; Horii et al., 2008). The present labour market has not met expectations in terms of HE outcomes and a more highly education workforce. Due to limited space availability, only 17-18% of students take advantage of the opportunity to enrol in state universities according to Z-Score selection criteria. The crucial factor is

whether or not the government has a plan to accommodate the 82% of eligible students who are qualified to undertake HE. According to the World Bank Report (2005), failure in university education has directly impacted on the labour market in Sri Lanka.

According to the figure-1 bar chart below and the statement given by Musalowa (2015), Sri Lanka at 4.89 has the highest number of individuals qualified to enter HE of the selected six South East Asian countries for available university places. This means that the Sri Lankan government is struggling to manage the requirement to increase student admissions in the HE higher education sector, as compared to other developing countries in the region.

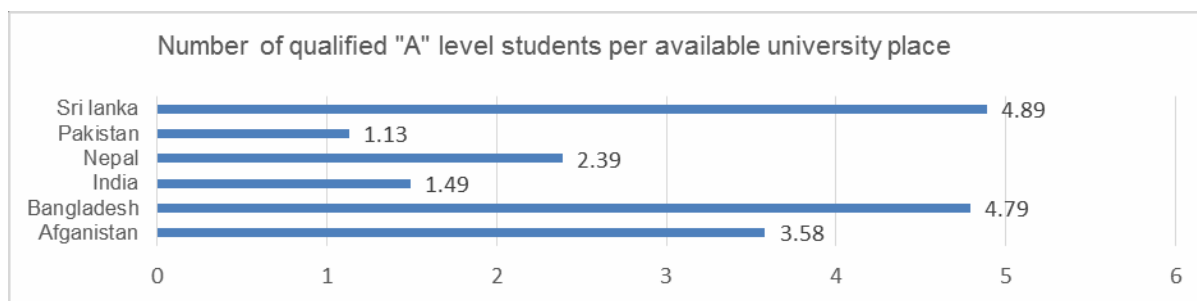


Figure -1 (Source: An Economist Intelligence Unit report produced for the British Council January 2015)

In 2011 Sri Lankan government changed the philosophy of higher education giving access to the private universities to enter into the higher education market under university grant commission (UGC, 2011). The policy has given private providers the opportunity to make a successful contribution to enhance access to

HE, while making a successful partnership with foreign universities. Even foreign universities been invited to establish branch campuses in Sri Lanka to accommodate the domestic demand for HE through the policy reform. Despite initiatives introduced to attract private sector activity, the Government has not been able to reach its projected targets.

Current HE availability in the state universities in Sri Lanka

	2011/12	2012/13	2013/14	2014/15	2015/16
Qualified	141411	144816	143740	149572	155550
Enrolled	28908	24198	25200	25643	29055
Percentage	20.44%	16.71%	17.53%	17.14%	18.68%

Source: Sri Lanka University Statistics-2016 (UGC, 2017)

Private sector contribution to enhance HE is more significant than before due to the rapid growth of qualified students with no space for HE in state universities in Sri Lanka. Looking at the above table it evident there is little progress being made in increasing state university enrolments. The World Bank reports 2000, 2008, 2009, 2015, & 2016 repeatedly stated the importance of enhancing higher education access in Sri Lanka,

if the country has an intention to meet its economic growth targets and meet the demands of the 21st century.

Theoretical context

The term 'enhancement' refers to an increase or improvement in quality or value (Middlehurst, 1995; Yorke, 2005; Okoye, et al., 2015). The term enhancement in the context of this paper refers to increasing HE access rates (HE enrolment) in terms of enhancing infrastructure, teaching and learning quality and the provision of resources. The enhancement of access to HE refers to widening participation in HE. HE should be viewed as a ladder rather than as a barrier to students who are seeking to develop their careers. Hence, enhancement is relevant in every aspect to HE and the enhancement of HE itself is vital for any country, as it has a direct impact on economic growth.

Since the introduction of comprehensive education in the 1960s, the UK has sought to provide 'equality of opportunity', which is based on a bond between social class and educational achievement within the new school system. The 1988 Education reform legislation introduced by the Conservatives produced a different notion of competition and customer choice in education, and the expectation was that better public services would be delivered to achieve parity and social mobility (Harris and Ranson, 2005). After the New Labour government was established in 1997, a 'third way' was developed as an alternative to the perspectives outlined above. The third way was launched as set of policies for social democratic settlement to support each social class. The aim was to tackle poverty and facilitate greater equality of

educational opportunity based upon educational attainment (Harris and Ranson, 2005).

Sri Lanka's education system is largely based on the UK system, as one of the vestiges of colonialism remaining. The challenge now facing the country is how best to focus upon equality in terms of educational opportunities. However, Sri Lanka, like most developing countries, has found that poverty is a barrier to students enrolling in private HE. This is an important distinction to make since much of the literature that has emerged in recent years describes and explores the surge in private HE providers that operate, whether by choice or by constraint, outside the state-regulated system.

Sri Lanka, with its large public HE sector has not seen the same increase in private provision. Consequently, few HE providers have captured the attention of researchers. Whilst private universities in this study have different motivations for providing education than the majority of new providers, more recent private HE literature nevertheless provides a useful background to explore their nature and development. In the broader debate over the privatisation of HE, the focus is typically on the changing nature of public universities. However, this enquiry proceeds from a distinct perspective and considers the extent to which private universities and HE Institutions are able to exploit their 'Privateness' within a public-sector framework to enhance HE access in Sri Lanka.

Why the Private Sector

In 2012, Sri Lanka's Population Census indicated that only 4% of citizens aged 25 years or older contributed to the economy as educated employees with a university degree or other degree level qualification. Limited access to HE continues to reduce prospects for increasing the number of degree holders in the Country. Due to its limited capacity, the state university system with 120,000 students has to reject applicants every year, and qualified students who have passed the international baccalaureate or EdExcel will have no access to these universities (Kelegama, 2017). The important factor to consider is whether or not the Government is providing enough options for those who are eligible, given the lack of places available in the state universities.

Since 2007 increasing numbers of qualified students in HE have presented a challenge to the Sri Lankan Government. The Government has struggled to support increased demand due to a lack of infrastructure and insufficient funds. Student choice and demand has therefore been overlooked. Sri Lanka is just one example of a range of developing countries that have fallen short of educational targets in HE in a similar manner (Aturupane, 2013).

One feature of HE is that it is demand-driven and access to HE therefore depends upon the level of Government interest. The best example of this is the HE system which was implemented in Poland after the collapse of communism in 1989. This enabled HE expansion, inter-sectoral

public/private differentiation and meant that more than 50% of qualified students were able to enrol in HE (Kwiek, 2013). Students can now access HE both physically and virtually. Circumstances have changed and the requirements placed on HE have altered dramatically over the time (Gao and Ng, 2017).

To fulfil HE requirements, students need to have direct access to HE when they need it, but Sri Lanka, like most developing countries, still struggles to meet their full potential (British Council, 2015). Access to HE should not be an aspiration that is out of reach for many but regarded as an opportunity for qualified students to build upon secondary education and to achieve career goals in educational attainment. In Sri Lanka, enabling private institutions to enhance access to HE can help to improve Government HE attainment levels in terms of access rates for developing countries (World Bank 2015).

With only 19 state universities and HE institutions to accommodate students in HE, the Sri Lankan government faces pressure as demand is much higher than expected. It has therefore invited private providers to meet the challenge of HE provision under the University Grant Commission (UGC). Thus, the Government is beginning to realise the significance of the private sector's contribution to HE. However, the revised system as it currently stands has not helped very much to meet the increasing demand. For example, the rate of HE enrolment in Sri Lanka has not significantly changed since 2011, although the

Government is being pressured to come up with policies to support better access. The significant transformation that was anticipated has not yet occurred (UGC, 2016).

Quality in Private HE

The quality of HE has become vitally important to meet the demands of employer, and the institutions which deliver HE should focus on the quality framework of generated knowledge of required of a graduate. The main challenge faced by developing countries since the 1980's has been that national governments and institutional donors have neglected the HE sector (The World Bank, 2016).

Student perceptions and behaviours are important for university educators and these inform the design of programmes, which, in turn, impact significantly upon student enrolment. Student performance varies based on the learning environments in which they study and the quality of teaching and course design (Lizzio, Wilson and Simons, 2002). In recent years, studies have shown that the theories of learning have become central to HE. This is particularly true of individuals entering HE from non-traditional backgrounds who have to adapt to new learning environments to achieve the best outcomes from their programmes (Christie et al, 2008).

According to the Higher Education Funding Council for England (1998), the quality of teaching and learning matters a great deal to

the survival of HE institutions and impacts significantly upon the choices that students make. Policies in teaching and learning enhancement must take measurements of quality firmly into account. Meeting quality standards will impact positively upon the image of HE institutions and will influence the learning outcome of graduates.

In respect of private HE Providers, the enhancement of quality in teaching and learning is likely to impact significantly upon student choices, because the word 'Privateness' in the UK HE sector system has not been traditionally regarded as compliant with the quality standards required of public universities. It has been isolated without having a proper coordination with the national quality framework to meet the standards expected in HE (Lewis, 2002). Government mistrust of the private HE sector has also characterised Sri Lanka's past approach to HE development.

The quality enhancement of teaching and learning has a direct impact on increasing academic outcomes for students, and this has an indirect impact on society, the economy and employers and, ultimately, on the wealth of nation (TQEC, 2003). Multiple researchers have identified the correlation between the quality of teaching has and effective learning. Hence changing societal perceptions of the private sector's contribution towards HE access, and enhancing the quality of teaching and learning has been paramount to achieving success in terms of access to HE (Martin et al., 2000;

Dunkin and Precians, 1992; Li, Lee and Kember, 2000; Biggs, 1999). Hence, the Human capital framework in education is important to help to develop the country into a position of economic stability. Enhancing the capacity of HE is more important to meet demand. Failure to meet demand may lead to a “brain drain” in Sri Lanka (WiswaWarnapala, 2010).

Implications for Management

“Widening Access” in HE has been a central agenda in the UK and in many countries around the world (Bowes et al., 2013; Croxford et al., 2014; Evans et al., 2017). Despite various structural, socio-cultural and economic differences between nations, HE enhancement through policy enactment has been similar in most countries (Croxford and Raffe, 2015).

According to the Higher Education Funding Council for England (HEFCE, 2005),

“HE is a major contributor to society’s efforts to achieve sustainability – through the skills and knowledge that its graduates learn and put into practice, and through its own strategies and operations”

The contribution of HE has had a significant impact on the development of any country socially and economically. Amongst other things, strategies to encourage growth in the sector, curriculum development, extra-curricular activities, and excellent pedagogy have enabled students to develop new skills as well as values and knowledge, and this has subsequently

contributed to the sustainable development of employer demand (Cotton et al, 2009; Ozuem and Lancaster, 2015). Singapore and Dubai have established themselves as successful education hubs and they are seen increasingly as “Role Models” in international HE provision (The World Bank, 2008).

In 2010 Mahinda Chinthana, the former President of Sri Lanka, announced that Sri Lanka would become an education hub for South Asia by 2020. The strategic goal of Mahinda Chinthana was to increase opportunities and access to HE. After five years of Mahinda Rajapakshe’s government, plans have been criticised because new universities and new programmes have not been established within the first five years of the new Government’s regime. Policy formation has not been practical or reliable (Aturupane, 2013).

International partnerships mainly rely on national government financial incentives that support the establishment of foreign universities within the country but not curriculum development. This has implications for student achievement and market-oriented outcomes. For example, the Government of Singapore has offered financial support to foreign universities to attract them in order to develop an education hub.

In Sri Lanka, however, HE reform is a case of political peril and promise. According to the World Bank Report (2009), Sri Lanka’s HE sector faces urgent challenges which include low space availability for HE access, a lack of

ICT knowledge and low attainment in the English Language amongst graduates. This has had a major impact on employment demand, especially in terms of private sector employment.

Four components have been funded by the World Bank Project for Sri Lanka- "HE for the Twenty-First Century", a project worth SD\$ 25.6 Million. Component three of the project supports the development of an alternative HE sector. Component four of the project focuses on the development of human resources through monitoring and the evaluation of communication. US\$ 5.3M and US \$10.8 have been injected into components three and four to develop a Higher Education Institutes' (HEIs) Foundation to follow the National Qualification Framework (NQF) in both the Public and Private HE Sectors (The World Bank Report, 2016).

The main question is whether or not the US\$ 25.6M granted by the World Bank for the development of HE in Sri Lanka has been successful in meeting the Country's demand for greater access to HE. According to recent reports and popular views it has not met the demand for HE access and has been seen as a poor use of funds.

Conclusion

According to Hannon, Faas and O'Sullivan (2017), social and cultural capability affects the ability of students to be educated, because it

allows students to make choices in HE that will impact upon their offer of a place at a university. This will lead to individual freedom of choice in terms of access to HE.

In recent years HE has expanded significantly. Using the capability framework as a useful approach, researchers have argued that HE can impact positively on human development which, in turn, progresses the development of knowledgeable human capital. Sri Lanka and other developing countries can use the capability framework approach to enhance access to HE (Hannon, Faas and O'Sullivan, 2017).

HE offers opportunities for everyone: increasing social mobility and enhancing career opportunities and the social lives of those who are educated. It allows people to distribute knowledge and ideas, to be creative and innovative, to foster scientific literacy and to sustain intellectual properties. Graduates can increase national productivity and the prosperity of the country in which they live, and they can find solutions to global problems. Hence, enhancing HE in any country, will impact directly and positively upon the development of human capital. If traditional public HE provision is failing to meet the demands of students looking to enrol on HE, a compelling idea is to develop private HE provision or to license private HE provision to enhance access to HE (Hoskins, Leonard and Wilde, 2017). Licensing, for example, might present a very effective option to counteract the ease of illegal reproduction. (Marginson (2016).

Traditional public HE is not sufficient to meet the demands of HE in developing countries like Sri Lanka. Even a country like China with its 3000-year old traditional civilisation has supported private HE provision. Governments in developing countries can fill the gap in HE provision by supporting the private sector HE initiatives to improve the quality of human capital to meet the demands of 21st century employers. Enhancing private HE provision will enable Sri Lanka, and other developing countries, to achieve economic growth through knowledgeable human capital that can compete on the world stage (Green, Henseke and Vignoles, 2016).

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Using twin lenses from psychodynamic and sociocultural theories to investigate what facilitates learning on psychodynamic psychotherapeutic courses

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Abstract

This paper arises from recognition that the psychodynamic approach to psychotherapy has no intrinsic theory of learning and teaching. Research has demonstrated how the introduction of Vygotskian socio-constructivism psychodynamic ideas, as the second of twin research lenses, can be applied in many diverse and radical ways. The author also shows how such an approach can be challenging both for students and teachers. In writing this paper, the author disagrees with those theorists who want to isolate psychotherapy from education, asserting as they do that 'educational therapy' involves a somehow lesser notion of the subject, that it does not warrant a theory of learning. Instead, suggested is that entering the margins between therapeutic and educational processes can be deeply rewarding as well as empowering for teachers, researchers and students alike. The originality of this research lies in its use of elements of the two paradigms to create lenses in an innovative way. A sociocultural constructivist framework has been used through which to understand psychodynamic psychotherapeutic learning and training.

Keywords: *Constructivist, Psychodynamic, Twin Lens, Synthesis, Two Paradigms, Learning Theory.*

Introduction

The psychodynamic approach has no intrinsic theory of learning. In a recent study of students' views (Papé, 2015) of what facilitates learning on psychodynamic training courses, a sociocultural theory of learning was therefore introduced as a conceptual framework within which to conceptualise and analyse the learning process. This enabled the data, that were collected across four years of study, to be analysed critically from an understanding of Vygotsky's activity-based socio-cultural theories of constructivism (1934; 1962) and also later constructivist thinking including Karpov (2003; 2006) Stetsenko (2005), Mayo (2010); and Vassilieva (2010). Use of the twin lenses of socio-cultural constructivism and psychodynamic psychotherapy enabled the emergence of an over-arching theme related to the tutor-student relationship, seen in sociocultural terms as enabling learning within a zone of proximal development¹ (Vygotsky, 1978, 1986; Wood et al, 1976; Wells 1993) and in psychodynamic terms as provision of a secure base (Bowlby, 1988; Callan & Obegi, 2008; Feeney & Thrush, 2010), from which students journeyed towards autonomous learning.

¹ Shown as ZPD throughout this paper

This article first briefly outlines the methodology for the research study and goes on to highlight aspects of the two paradigms that are particularly salient both to the study itself and also to an understanding of how different theoretical paradigms may be used coherently and with authenticity in the same study. It will offer examples of the analysis of data in the study, using both lenses and conclude by offering a critique of such use.

Research

Data were collected through semi-structured interviews of eight students at various points of their learning across the four-year learning cycle of the courses in two different UK universities. The ontology of the research was constructivist, and the epistemology Interpretivist with methodology conceptualised through a phenomenological perspective. Hermeneutic philosophy (Gadamer, 2006; Arthur *et al*, 2012) was reflected in the methodology (Stern 1991).

Hermeneutic phenomenology is appropriate for this research because it concerns the situated human being in her world². Gadamer (2006) advanced a philosophical hermeneutics that proposed an interpretation of what he considered to be the apposite process of understanding, which rejected any attempt to found understanding on a method or set of rules, perhaps historically found in the teaching and learning of the psychodynamic approach to psychotherapy. This is not ‘...a rejection of the importance of methodological concerns, but

rather an insistence on the limited role of method and the priority of understanding as a dialogic, practical, situated activity...’ (Malpas, 2014:2.2).

Interpretation is an advanced psychodynamic skill as well as being critical to the process of understanding in hermeneutic phenomenology and in a socio-cultural constructivist theory of learning. Heidegger (1927) proposed that every encounter between individuals affords the chance of an interpretation, which is influenced by the individual’s background and state of ‘being’. Polkinghorne (1983) suggested the individual’s past experiences have a cumulative effect on individual development and it is this aggregation that can be seen clearly in the process of reflective interviews of participants in this study. Kyale (1996) posited that hermeneutics has an aim of finding intended meanings which Vygotsky (1987) considered was central to constructivist thinking and therefore fundamental to this study.

The link between constructivism (Butt, 2006) and psychotherapy on the one hand to hermeneutic thinking on the other (Holroyd, 2007), can be understood in terms of the circle of language (Gadamer, 1976), that is

² Heidegger’s focus was on ‘Dasein’, which is translated ‘the situated meaning of a human in the world’ (Lavery, 2006)

closed in dialogue but open to reflection and influence. This understanding is central to the choice of methodology in the current study. Data analysis involved co-construction of participants' meanings as they enter the hermeneutic circle of understanding (Gadamer, 1976; Rose, 2005). In the current study, both the researcher and participant worked together to bring life to what was being explored, through the use of imagination, the hermeneutic circle and attention to both meaning and sense of the language used. Koch (1995) further elaborated this as

'...hermeneutics invites participants into an ongoing conversation, but does not provide a set methodology. Understanding occurs through a fusion of horizons, which is a dialectic between the pre-understandings of the research process, the interpretive framework and the sources of information...' (Koch, 1995: 835).

Enabling material to emerge from the pre-conscious to conscious is an important outcome of psychodynamic psychotherapy and hermeneutical reflection plays a fundamental role in this process. However, for Gadamer (2006), it is 'fact' that determines how the individual applies thought and feelings to a particular situation, perhaps reminiscent of Freudian superego unconscious behaviour in which the individual fears parental condemnation. He further postulated '...human sciences are not just feelings and the unconscious but it at the same time a mode of knowing and a mode of being...' (Gadamer: 2006:15).

Twin Paradigms

Throughout this study comparisons and contrasts between the two paradigms, are emphasised and discussed through selected literature. This gave an opportunity to recognise and highlight the major influence of understanding human (student) development of both Freud and Vygotsky. Use of elements of these analytical approaches appears to be unique, as the author has found no mention of this two-paradigm use in research of psychodynamic and sociocultural constructivist literature. These were the significant issues of the study.

Psychodynamic theory enables understanding of human development and how theoretical concepts inform the practitioner (Heller & Northcut, 2002), on which psychotherapy training depends. Pedagogy associated with sociocultural constructivist theory enables learning in the presence of the more informed other (Berk & Andersen, 2005).

To understand the enabling process associated with psychodynamic theory, through sociocultural constructivist lenses, is the reason the two paradigms have been chosen. This study brings together elements of both paradigms which lend themselves to the tutor enabling students to learn autonomously to become cathartic counsellors (Tønnesvang *et al*, 2010). The social constructivist viewpoint suggests the ZPD (Vygotsky, 1927), in which sedimented knowledge related to psychodynamic training is mediated by the tutor for the student to construct learning and the psychodynamic viewpoint suggests the

tutor enables the student to connect with strengths and weaknesses through past experiences, aided by tutor modelling (Folkes-Skinner *et al*, 2010).

The authors recognise the student is the expert in the student's life (Neimeyer & Raskin, 2001). Pedagogy associated with sociocultural constructivist views of learning suggests that the tutor, as the more informed other in the teaching relationship (Tynjälä 1993; Tynjälä *et al*, 2003; Youell, 2006; Attwood, 2010), understands the next steps in students' learning and scaffolds (Dodge, 1998; Helle *et al*, 2006; Van Rooij, 2009) and models (Wynne & McAnaney, 2009) the basic concepts of psychodynamic theory in the ZPD, in which the student constructs learning and understanding.

Psychodynamic and Psychoanalytic Paradigm

The theories of attachment and objects relations, particularly the aspects or concept of a safe or secure base (Bowlby, 1968) from which to develop and interrelationship in the psychotherapeutic dyad (paralleled by the researcher/student relationship), are particularly salient in psychodynamic psychotherapy courses. It is for this reason they are selected for specific mention in this study.

The author is aware of the significance for the student of transference^{3/4} (Burton, 1964; Cutler *et al*, 2004; Borbely, 2009), a core concept of the psychodynamic approach, from present or earlier relationships (Weiss *et al*, 1973; Heyman, 2001, 2009; Watkins & Dryden, 2008; Ayala & Hinojos, 2010), and, psychodynamically, this transference could have a high importance in which tutors could work for the benefit of student learning (Loewenthal & Snell, 2006). Some consideration is given to the implication for students and their relationships (Christensen & Heavey, 1990, 1993; Mitnick *et al*, 2008), participating in this study

Tension might exist when there is an attempt to limit questions and interventions solely to the researcher role (Dalzell *et al*, 2010). Being conscious of other roles (tutor, therapist) of which the students are aware, the students could respond in transference (Ulman, 2001), transferring a figure or part-figure (Klein, 1946) from their past. The psychodynamically trained tutor, could also be aware of the countertransference phenomenon (Little, 1951; Gelso & Hayes, 1998; McCarthy, 2004) stimulated by student transferences (Ferenczi, 1926, 1927; Schamess, 2006; Watkins & Dryden, 2008). Sharing of feelings in countertransference and appropriate disclosure (Bridges, 2001; Davis, 2002) are some of the many difficulties lying in store

³ The relationship between therapist and client is theoretically widely explored in the psychodynamic approach. We know about the crucial effects of this relationship for the development of the therapeutic process. These effects are mainly described by the

terms 'transference' (phenomenon of projections of the client onto the therapist).

⁴ '...What are transferences? They are new editions or facsimiles of the impulses and phantasies which are aroused during the progress of the analysis; but they have this peculiarity...that they replace some earlier person by the person of the physician [therapist]...' (Freud, 1905).

for therapist trainees. At some point, however, in order to fulfil their potential, trainee therapists must learn to accept the insignificance of their anxieties and let them go⁵ (Freud, 1915).

Psychodynamic psychotherapeutic education typically utilises a tripartite model of training (Eagle, 2008), including classroom teaching, providing psychotherapy (Paul, 1978) under rigorous supervision (Ladany *et al*, 1999; Moncayo, 2006; Riess & Herman, 2008) and personal development (Cozolino, 2006; Harris, 2008) and analysis on the part of the trainee (Doehrman, 1976; Moldawsky, 1980).

During the interviews for this study there was an awareness of the boundaries (Payne *et al*, 2006) around the dual roles (Borys & Pope, 1989; Loewenthal & Snell, 2006) of researcher and tutor (Dalzell *et al*, 2010), as well as students' expectations, which required mindfulness of core psychotherapy conditions originating from the humanistic tradition⁶ (Mearns & Thorne, 2007).

It should be acknowledged that psychodynamic and psychoanalytic approaches emanated from a time of gender inequality and sometimes in the context of homophobia. Care has been

taken in the application of original thinkers' ideas in the present time and context. Psychodynamic theory was originally Eurocentric and acknowledgement is made of the possible difficulties, for people from different origins, in understanding and accepting the original context.

Psychodynamic⁷ psychotherapy is concerned with how individuals sometimes deceive themselves as to purposes, wishes and beliefs and how these deceptions create conflicts between expressed goals and actions (Sturdee, 1995). In application to this study, students might deceive themselves by using defence mechanisms and other unconscious processes as coping strategies (Collie, 2008). A definition of the term psychodynamic is '...of/or pertaining to the laws of mental action...' (Palmer, 1999:236) and its use pre-supposes that there are some principles that determine the relationship between mind and action and that these can be formulated as a basis for therapeutic intervention. One of the most fundamental tenets is that clients are unaware of many of their motives and that if these were known they would be able to make better, less conflicted choices. However there is often resistance (Denietolis & Miller, 2008) to or defence against recognising these hidden motives, termed unconscious (Erdelyi, 1992; Sturdee, 1995) by most psychodynamic theorists; hence,

⁵ '...Every beginner in psycho-analysis probably feels alarmed at first at the difficulties in store for him. When the time comes, however, he soon learns to look upon these difficulties as insignificant...' (Freud, 1915:37).

⁶ Carl Rogers (2004) proposed the six core conditions of the person-centred approach which include congruence (genuineness), unconditional positive regard and empathy (Basch, 1983); some might consider these three core conditions have been hijacked by the psychodynamic and other approaches to psychotherapy.

⁷ Traditionally, the principles underlying psychodynamic psychotherapy are presented as derivations of the ideas of the psychoanalytic school founded by Sigmund Freud, a doctor, neurologist and psychoanalyst. Current psychodynamic psychotherapy draws from a considerably wider and developed range of theoretical influences.

many clients are unable to change; indeed there seems to be a compulsion to repeat past behaviours (Freud, 1922; 1949). The 'Self-Sabotage Cycle' (Rosner & Hermes, 2010) is descriptive of the natural tendency of the human to repeat which, Freud (1922) postulates, infants learn during their formative years by what he terms 'repetition compulsion'. This tendency to repeat is deeply rooted in the unconscious (Freud, 1922) and, even though there is conscious awareness that repetition is not in the individual's best interest, repeating past behaviours still happens.

Trauma might cause the individual to act in a known way (Bonomi, 2004) and, in order to survive, the individual unconsciously represses associated feelings. Rosner & Hermes (2010) suggest that only by understanding the source of trauma and how it manifests, that the therapist can begin to enter the world of the client and start the process of enabling material to emerge into the conscious from the unconscious (pre-conscious). This trauma is encoded in the unconscious and maintained by associated repressions of feelings that protect the individual (Boag, 2010). Humans have a basic need to feel safe and secure (Maslow, 1954) in a world that is stable and predictable. Early exposure to trauma could shatter the wish and need for a benevolent environment (Harris, 2008).

Repetitions are thought to arise because of earlier experiences (Shabad, 1993) where behaviour successfully enables coping

mechanisms by ignoring or repressing difficult feelings. If this is not possible, not only is the memory of the trauma buried in the unconscious but also the feelings and emotions attached to it, resulting in distorted memory of the event itself (Boler, 1999; Uttl *et al*, 2006). The severity of the event causing trauma decides whether it is experienced as traumatic and individuals have different tolerances to traumatic events. Those who have a high tolerance to trauma are distinguished not only by a more developed memory, but also because they remember '...in different manners, by different methods; they use memory to a different degree...' (Vygotsky, 1929: 45).

Within the psychodynamic approach to analysis and therapy, post Freud, the objects relations theories of Ferenczi (1926, 1927, 1988) and developed by Kernberg (1980), describe the capacity for mutually satisfying relationships, are primarily concerned with the equilibrium between the individual and his changing environment⁸ (Ferenczi, 1926). Objects relations theories have been developed by Fairbairn (1944), who described the libido as being object-seeking rather than the pleasure-seeking drives of Freud, with the emphasis on individual relationships. Kernberg (1980) further developed objects relations theories by rooting them in ego-psychology as an understanding of patients' mental health.

From the psychodynamic paradigm, Freud (1922) postulates the mind (or the psyche)

⁸ This reference to environment can be considered as having resonance with the sociocultural theories of Vygotsky

has three separate component parts: the conscious, preconscious and unconscious. He posits the psyche comprises three structures as mapping onto this model. Firstly, the id⁹ is completely unconscious and represents the instinctual force towards immediate gratification of biological drives, that is sex, thirst and hunger (Van Haute & Geyskens, 2008). The id is present at birth (Badcock, 1988) and is the source of libidinous impulses. The second structure is the ego, which Freud (1922) argues is not always conscious, or even preconscious¹⁰. The ego is that part of the personality which functions according to the 'reality principle'. The ego is without energy and has to steal its energy from the id by means of what Freud terms 'identification'.

Through identification, the ego fulfils its basic function, which is to act as an intermediary between the id and the outside world. The ego develops throughout childhood and mediates between the child and the outside (social) world and superego. The third structure is the superego, which spans the unconscious and the preconscious. Freud (1922) postulates that the superego develops later and it represents the child's internalisation of the demands of the society in which it lives. These concepts are central to psychodynamic training in all four years.

⁹ 'The id is an impersonal, chaotic inferno of primitive drives, and dynamically repressed material which constantly agitates for expression. It goads the ego with pain and seduces it with pleasure' (Badcock, 1988: 111).

¹⁰ Freud found that many of his patients were unaware of how their egos operated to help them to function as social beings

Current research (Schore 2010, 2013) re-configures Freud's seminal topographical postulation of three layers of (un)consciousness containing the id, ego and superego structures, as a three-dimensional hierarchical model comprised of amygdala, cingulate and orbitofrontal areas of the right cortex of the brain found to be responsible for exteroceptive sensory input, which comprises visual, auditory, tactile, gustatory and olfactory functioning¹¹ (Schore, 2011, 2013).

Melanie Klein and objects relations theories

Research (for example Burgner, 1985) shows the deleterious effect on the child's development of an absent father, quoting a relevant formulation by Laplanche & Pontalis (1973)¹². There are other differences between Freud and Klein including the nature of the death instinct (Mills, 2006), which Klein suggests is innate or intrinsic to human nature. Indeed, this belief was eventually to distance Klein from the objects relations school.

John Bowlby and attachment theories

Now, with the advent of neuroscience, there is empirical evidence of the significance of

¹¹ Schore's Right-Brain Dual Corticolimbic-Autonomic Circuits (Schore, 2013)

¹² '...We are led to assign an essential role in the constitution of a given Oedipus complex to the other poles of this relationship, the unconscious desires of both parents, seduction and the relations between the parents, as well as to the subject and his instincts.... It is the different type of relationship between these three points of a triangle which... are destined to be internalised and to survive in the structure of the personality...' (Laplanche & Pontalis (1973: 286).

attachment and relationships in the child's development. Therapists can more freely accept and use this understanding to inform their clients' issues and development. Equally tutors can begin to understand how students' familial experiences play their part in students' construction of learning and that this understanding is part of what students describe as their relationship with the tutor being a facilitating factor in their learning.

The theories of attachment (Bowlby, 1971, 1980, 1988), including the concepts of secure base and attachment types (Bartholomew and Horowitz, 1991), are central both to this study and indeed to psychodynamic psychotherapeutic training courses in general. Throughout training on psychodynamic psychotherapy courses, acknowledgement is given to Bowlby for his seminal work on the importance of attachment.

Both Freud and Klein consider babies are born relatively undeveloped. Understanding the baby's development from a neurobiological perspective has substantial learning for modern attachment theorists (for example including Holmes, Steele, Scroufe, Schore, Muir). Clarke & Clarke's (1976) research finds early experiences of the baby affect growth, and now as neurobiological research evidences, the brain is also affected (Bauer, 1996) as well as physiological systems, particularly stress responses (Schore, 2013). At this early stage in development feelings evoked are

very basic, including distress (Emerson *et al*, 1994) or contentment but the baby relies on the caregiver to manage these states (Scroufe, 1988). The baby builds images of what it associates with them, for example, pleasure or pain. Some babies are more reactive than others, but the outcome depends more on parents than on the baby '...even the most difficult babies do fine with responsive parents, who adapt to their needs...' (Gerhardt, 2004:20).

Gerhardt (2004) postulates further that 'problem' parents are either neglectful or too intrusive. If the caregiver blocks her feelings or if she is preoccupied with them, she is unlikely to notice or regulate her baby's feelings. If the caregiver does not manage her own 'negative' emotions and becomes upset or annoyed with the child who cries or becomes angry, the child learns to hold back feelings or tries to switch off feelings because there is no help with learning how to regulate them. This is considered as being representative of an 'avoidant attachment' (Bowlby, 1971).

If the caregiver is inconsistent and offers irregular response to the child, the child learns to watch the caregiver very closely and keep emotions near the surface so that attempts can be made to attract attention when there is chance of success. This is recognised as 'ambivalent attachment'. In disorganised attachment '...so much has gone wrong that...[parents] are unable to provide the most basic parental functions of protecting the child and creating a safe base from which to explore the world...' (Gerhardt, 2004:27).

The way the higher functions of a baby's brain develops is dependent on that infant's experiences with people and in particular the caregiver. Here might also be considered the importance of the sociocultural context for the development of the child (Vygotsky, 1933, 1967). Research (Bowlby, 2000) with Romanian orphans shows the existence of a 'black hole' (Schor, 2000) where their orbitofrontal cortex should be. If the child does not experience social relationships during the period in which the orbitofrontal cortex develops (up to age three years) then she is unlikely to be able to develop adequately this part of the brain in any social context. On the other hand if there is good interaction between mother and baby, love is experienced as pleasurable and the baby has a good chance to develop and manage problems in a non-traumatic way.

When the relationship is boundaried and experienced as reliable and especially when the caregiver is consistent and able to manage the baby's stress, modern attachment theorists believe that '...it is the repeated and typical experiences that structure the brain...' (Gerhardt, 2004:45). Babies do depend on the caregiver to manage their stress, as do students rely on tutors. If done insensitively, the baby's stress response is activated and she becomes flooded with cortisol and cortisol receptors shut down. In this case in future, there is high sensitivity to stress, as the cortisol is not taken up by the receptors and remains in the brain.

Much is written on the linking of anxiety and depression, no better described than by the psychoanalyst Harry Stack Sullivan (1953), who theorises anxiety is a key pathological factor in shaping the self (Brinich & Shelley, 2002) and regulates interaction with others, suggesting '...the outline of the child's personality is sharply etched by the acid of the parents' anxiety...' (Mitchell & Black, 1995:70). The importance of attachment and understanding the internal working model (Bowlby, 1971) is central when considering how nurture considerably impacts the child's development.

Current research (Schor, 2011), building on the pioneering work of Bowlby, Stern, Winnicott and others, highlights the importance of empathic interaction between the mother and child for the development of that child into a loving human being. Schor, paraphrasing Gerhardt (2004), asks the questions:

'...The babies who are born now and in the years to come will be the adults who nurse us in old age, who manage our industry, who entertain us, who live next door. What kind of adults will they be? Will they be emotionally balanced enough to contribute their talents, or will they be disabled by hidden sensitivities?' (Schor, 2013)

Schor (2013) suggest the answers to these questions can only be determined with an understanding of the part played by how babies experience being loved and valued during infancy. Presently, neurobiological research (Schor, 2011) provides evidence of brain activity stimulated by the mother's verbal and non- verbal responses, involving chemical manufacture (particularly oxytocin, dopamine and noradrenaline) and released

in both mother and baby, which affects the centre (amygdala) (Schore, 2000) of the right-hand brain. This is the area of the brain found to be involved in the baby's ability to establish the '...maintenance of long-lasting social and emotional attachments...' (Schore, 2013).

Entering an age when neurobiological research evidence confirms the importance of the early postulations of Bowlby's attachment theories, provides material for increased understanding of the importance of the attachment process for future generations of student counsellors.

Critique of psychoanalysis and the psychodynamic approach

A brief critique of psychoanalysis and by derivation, the psychodynamic approach to psychotherapy, naturally starts with initial recognition of the founding part played by Sigmund Freud, who in turn acknowledges the part played by the pioneering work of his collaborator, Josef Bruer. From Bruer's cathartic method of hypnosis for treating repressed traumatic experiences, Freud developed psychoanalysis (Stark, 2005).

Particular importance for the development of psychoanalysis and hence the psychodynamic approach to psychotherapy, are the object relations theories of Otto Kernberg and Melanie Klein, the self-concept theories of Heinz Kohut and psychosocial theories of Erik Erikson (Grünbaum, 1990). The objects relations theories propose that

'...under conditions of low affect activation, reality-oriented perception controlled

cognitive learning took place, influenced by temperamental disposition, that is the affective, cognitive and motor activity of the infant, leading to differentiated, gradually evolving definitions of self and other...' (Kernberg, 2005:40).

In high-level affective relationships specific memory structures are emplaced in which are found powerful motivations to interact with significant others. The drive is for increased conditions that generate high positive affective states and decrease the conditions that enable negative affective states (Kernberg, 2005). Self-concept theories propose that the therapeutic relationship has an essential part to play in a diagnostic approach to client's problems in the development of self (Kohut, 1971).

Perhaps as much publicity has been given to the works of Jeffrey Masson as any other critic, who wrote several books, particularly 'Against Therapy' (1988) which counter the benefits of psychotherapy. The central contention seems to be the belief that any person can learn some psychotherapeutic skills and be as cathartic as a qualified therapist in enabling the client towards achieving developmental goals. This seems to counter the idea of the importance of the work and expertise required in building and maintaining the therapeutic relationship, so prevalent in post-Freudian thinking. In an earlier publication Masson (1984) attacks Freudian thinking of the Oedipal complex, the very foundation of psychoanalytic theory, as having nothing to do with being a driver of personal development and that sexual fantasies and libido-driven

development has no relevance to resolution of client problems. Masson writes that reports of historic sexual abuse, particular that between father and daughter, are themselves childish fantasies, much to the chagrin of those who suffer such abuse.

A problem sometimes encountered with psychodynamic psychotherapy, is its anecdotal and individualistic nature: that is some clients need considerably longer than others to access unconscious material. In today's society, with pressure for value for money and need for empirical evidence before resources become available for such therapy, this is problematic. However this has now being addressed by the development of Dynamic Interpersonal Therapy [DIT], based on the historical concepts of the psychodynamic approach but substantially more structured (Malan & Osimo, 1992)¹³ with a target sessional therapeutic longevity of twelve to sixteen sessions (Blatt & Luyten, 2009; Lemma *et al*, 2011).

The DIT programme has been developed in response to the criticism that the psychodynamic approach does not produce standardised verifiable results and therefore might encounter problems in attracting government funding for its use in the NHS. Students report a preference for working with underlying causes as well as presenting issues or effects, the goal of the psychodynamic practitioner. This new model would certainly challenge freshly

trained students. However, they would be able to benefit from DIT training once they become fully-fledged counsellors. This new model (2010) is developed for use in the NHS within the IAPT¹⁴ services, as results suggest it is promising in its acceptability and effectiveness (Lemma *et al*, 2011).

Critique of the psychodynamic approach might include the inappropriateness of long-term therapy when short-term psychotherapy could be shown to work for presenting problems. Here I mention CBT¹⁵ with its focus on goal-setting and achievement. Certainly, results are recorded and statistics produced to show this therapy is effective for short-term results but traditionally CBT is not designed to address clients' causal issues via working in the phenomenon of transference (Cutler *et al*, 2004). Again current DIT developments, as detailed above, can be shown to use the psychodynamic approach in a model that allows for shorter-term work.

Since the turn of this century, there can be considered the current drive by Higher Education establishments to focus on the therapeutic relationship with movement away from previous historic analytical thinking. Indeed, tutoring psychodynamic courses now has the central focus on interaction with the therapist, perhaps highlighted by the paradigm shift to relational psychology '...to understand attachment origins of the capacity to receive, feel

¹³ David Malan (1992) was amongst the first to tailor the psychodynamic approach to short-term work.

¹⁴ Improving Access to Psychological Therapy

¹⁵ CBT: Cognitive and Behavioural Therapy. Aaron Beck was particular instrumental in linking cognitions with behaviour to create CBT.

and express the emotions of love for another, utilise relational perspective of interpersonal neurobiology [as] structural and functional development of the early bonds of mutual love...' (Schore, 2013).

In summary, events have overtaken those who wish to maintain purism of historic analytical psychodynamic thinking and practice, with a marked move to relational psychology encompassing and furthering the original Bowlbian attachment processes. This is no better illustrated than by postulations of the importance of the mother's gaze in the development of the baby's parasympathetic 'quiet love' and sympathetic 'excited love', two concepts originated by Kohut (1971) and further developed by Schore (2013), who proposes that the '...mutual gaze 'gleam' is an overt biogenetic expression of the mother's love. Her excitement resonates and amplifies the infant's 'excited' love...' (Schore, 2013). On this is predicated Schore's research providing empirical evidence that mother-infant mutual love is the neurobiological source of all forms of adult love as well as the capacity to form long-lasting mutually satisfying bonds in later adult life.

Sociocultural constructivist paradigm

The second main paradigm for this research is a constructivist view of learning (Grier-Reed *et al*, 2009) and in particular the sociocultural constructivist theories of Vygotsky, who draws freely on the work of such international contemporaries as Sigmund Freud (Vassilieva, 2010).

As further evidence of connection is Vygotsky's publication 'Crisis in Psychology' (1927), claiming that the '...crisis stems from the sharp contradiction between the factual material of science and its methodological and theoretical premises; a contradiction deeply rooted in history of knowledge, revealing a dispute between the materialistic and idealistic worlds...' (Vygotsky, 1986:13). In his investigation into the crisis of arriving at and understanding a definition of psychology, Vygotsky (1927) also considers how the wide base of psychoanalysis and by implication, its derivation, the psychodynamic approach to psychotherapy, is problematic in the sense that the libidinal drives of Freudian psychoanalytic theories '...became a metaphysical principle amidst all other metaphysical ideas, psychoanalysis became a world view, psychology [became] a metapsychology...psychoanalysis has its own theory of knowledge...' (Vygotsky, 1927; 1982). Vygotsky considers these two domains irreconcilable and yet attempts to understand the two and somehow bring them together.

Vygotsky (1986) approaches consciousness as problematic whereby he attempts to prove some legitimacy via his conclusion that there are two forms of consciousness, thought and speech. The word, he concludes, is a '...microcosm of human consciousness...' (*ibid*, 1986:256). Vygotsky's (1925) hypotheses attempt to explain what he considers are the major questions pertaining to consciousness.

Vygotsky (1986) distinguishes between two forms of experience, the scientific and the spontaneous and by implication questions the perspective of Freudian thought as being positivistic. This division, that is the difference Vygotsky makes between what is being studied and the principles that explain the process '...is central to his methodological oeuvre...' (Daniels, 2001:86).

Vygotsky (1986) attempts differentiation of students' personal or 'everyday' concepts from those learned at school, which he designates as being scientific. He uses the term 'scientific' to describe systematic learning. He suggests the processes of everyday concepts originates in the child's own experiences and academic concepts, in which learning is achieved in the presence of a more informed other, are different (Kozulin, 2003).

Thus, for Vygotsky, psychology is the means of uncovering the origins of higher forms of consciousness (see above) and cannot be limited to direct evidence; it is this enquiring nature of human beings that is fundamental to Vygotskyan thinking (Bodrova & Leong, 1996; Lee & Smagorinsky, 2000). It is working with unconscious material that this study highlights is the difference between the psychodynamic and other processes.

There is recognition (James & Coleman, 1998) that many students might learn most effectively through collaborative methods (Wyn, 1990; Blumenfeld, *et al*, 1994). Indeed, the importance of the culture, which immerses the learner and the role of others

in assisting learning (Vygotsky, 1978), is becoming increasingly acknowledged (Billett, 1996). How the more experienced other facilitates the student learner in the ZPD is known as scaffolding, which is a focus of my research. Vygotsky did not propose the term 'scaffolding', which Wood *et al* (1976) introduced some decades after Vygotsky's death.

Scaffolding is the process of describing the '...gradual release of responsibility from the expert to the learner...' (Bodrova & Leong, 2001:11) by decreasing assistance, thus enabling the student to become fully responsible for performance (Van Rooij, 2009). Simultaneous with this time the unchanging nature of the learning tasks increases the level of responsibility the learner requires to achieve goals (Elliot, 1999).

That the student's belief in self, or self-concept (Shaw *et al*, 1960), is acknowledged as both a functionally restrictive and facilitating factor (Roth, 1959; Davidson & Lang, 1960; Payne & Farquhar, 1962), in academic performance, is investigated throughout this research. Further research concludes that lack of '...a sound theoretical framework with which to interpret empirical results...' (Payne & Farquhar, 1962:187) as being fundamental for establishment of self-concept (Shaw *et al*, 1960) as well as failure of many investigators to make their self-concept referents even plausibly relevant to the behaviour under study (Wylie, 1961).

It is this reflexive use of self (Sluijsmans *et al*, 1999; Rowan & Jacobs, 2002) that

enables students in this study to understand how they integrate and apply components of each paradigm to their own development in their vocational contexts (Billett, 1996), perhaps without fully understanding the significance of considering learning from different paradigms. Students, at research interviews, report their belief that reflexive learning is likely to withstand the test of time (Mishler, 1986).

The unlearning¹⁶ process is central to psychotherapy training and highlighted in research (Salomon *et al*, 1998) in which there are clear findings that support the ability for adults (to use IT as a ZPD) to reconstruct knowledge supported by a more informed other (Vygotsky, 1978).

Critique of Vygotsky's work

Literature highlights debate concerning the application of Vygotskyian theories outside the original time and context (Rowlands, 2000). Vygotsky promulgates theories from an entirely different context, nevertheless the sociocultural theories and concept of ZPD, in his work, provide a very useful framework for analysis for the research (Pap  , 2105), against which to reflect about the way students interpret their construction of learning on psychodynamic psychotherapy courses, in their relationship

¹⁶ The unlearning process for students on psychotherapy courses can be anxiety-provoking, especially as students might have trained previously in other disciplines which required specific ways of thinking and reacting.

with the tutor. Rowlands (2000) lays down the marker that Vygotsky is heavily influenced by Marxism and implicitly warns of its possible consequence, suggesting the ramifications in pedagogy can be viewed only in this context.

Rowlands (2000) claims that Vygotsky has been completely '...turned on his head' in order to justify a sociocultural relativism at the expense of his objectivist approach...' (Rowlands, 2000: 537). This stimulates the question, what credence can be given to a non-objectivist approach? Is the 'tail wagging the dog' in the claims that Vygotsky tried to make his theories fit the sociocultural school rather than let this emerge in the psychodynamic or constructivist sense of enquiry?

There is the claim that '...contrary to the relativism of the sociocultural school, Vygotsky's perspective was wholeheartedly objectivist in nature...' (*ibid*, 2000:538) and for me this is the essential dilemma. Vygotsky's theories do seem to be intrinsically objectivist, heavily weighted by Marxist traditions and clearly contextual in nature. The point that the ZPD can become a '...dynamic research methodology because it could enable us to understand in practice the cognitive processes involved...' (*ibid*, 2000:550) is poorly made as the ZPD is a zone and not process (Wearmouth, 2002).

Concepts from both paradigms

The concepts from both paradigms are aspects of the theories I have included in my analysis and interpretation of the students' transcripts.

Vygotskyian thinking encapsulates three major concepts. Firstly, that genetic analysis has importance in learning, in that the origins and history of phenomena can only be properly understood in interconnectedness and how and where they occur in human development (Vygotsky, 1978). This has resonance with Freudian thinking in that regression as a defence occurs if psychosexual stages are not completed (Freud, 1963), which postulation Erikson (1980) underscores by proposing that resolution of psychosocial tensions¹⁷ is the driver of human development. The focus on social factors, an important focus in this study, is linked in that Vygotsky (1978) theorises that learning and development take place as a result of experiences of cultural influences and in societal contexts. As the learner's context changes, so does learning opportunity, hence there can be no blueprint describing the changing dynamics between external and internal aspects of development, as this is an individualised process.

Spontaneity is included in Eriksonian psychosocial theories of development, based on Freudian libido-focussed stages of development, which suggest the early learner can be encouraged to take initiatives and try out new ideas. The learner can imagine a future situation, one that is not immediate reality. Initiative is the attempt to make that non-reality a reality (Erikson, 1965, 1980). Fantasy, curiosity and imagination leading to initiative-taking

(Stern, 1997) can be encouraged; often this manifests as creativity and play, which psycho-dynamically has high importance. The importance of play is researched by Vygotsky from many perspectives. In connection with imagination he proposes the representation of

'...children's play is imagination in action which could be reversed; we can say that imagination in adolescents and schoolchildren is play without action...' (Vygotsky, 1978).

Representation has significance psychodynamically when considering objects relations theories (Klein, 1946, 1971; Ferenczi, 1926, 1927; Fairbairn 1944; Kernberg, 1980), which generally espouse the relationship between people and particularly mother and child and use of an object in a transitional sense (Winnicott, 1965), again an important concept in this study.

Freud (1922) describes development whereby each stage is a progression towards adult sexual maturity, characterised by a strong ego and the ability to delay gratification. With increasing maturity, the infant overcomes illusions of omnipotent control over objects (Grand, 2002) and there is a decrease in projection and introjection and a rise in more accurate projection (Klein, 1946, 1971) found in Year 4 students in the study. The co-existence of these concepts can be understood in terms of quantitative ratio, with one sublimating to the other. From the psychodynamic paradigm the unconscious defence mechanism of

¹⁷ Erikson (1980) proposed resolution of psychosocial tensions was the means by which humans developed period

sublimation¹⁸ (Freud, 1963) is viewed as an unconscious process to understand metaphorical representation, often connected with the libidinal drives of Freudian thought (Wisdom, 1992; Heller & Northcut, 2002). The Kleinian concept of splitting is a defence mechanism, as is 'projective identification'¹⁹ (Waska, 1999), which is the imaginatively splitting off part of self and attributing it to another in order to control the other. This often includes splitting, in the form of externalisation of inner anxiety and anger, concepts understood and reported by students in this study.

The second of Vygotsky's concepts is the idea of different levels of mental functioning. Vygotsky (1978) makes the distinction between lower mental functioning which encompasses perception, memory, attention and will and higher or cultural mental functioning, which is specifically human and develops gradually from radical transformation of lower functioning. Vygotsky (1987) uses the term 'supersede' to designate this transformation, yet on deconstruction the higher mental functioning comprises elements of lower mental functioning.

¹⁸ The defence mechanism of sublimation is described as allowing acting out of unacceptable impulses by converting these behaviours into an acceptable form. Freud believed that sublimation was a sign of maturity that allowed people to function normally in more socially acceptable ways (Kahn, 2002).

¹⁹ Melanie Klein introduced the term 'projective identification' as '...much of the hatred against parts of the self is now directed toward the mother. This leads to a particular form of identification which establishes the prototype of an aggressive object-relation. I suggest for these processes the term 'projective identification...'' (Klein, 1946:102).

The third main concept Vygotsky (1978) postulates is that there are two different types of memory. One is based on lower mental functioning and is characterised by retention of actual experiences accessed by mnemonic traces (Reisberg, 2001), which is generally understood to be 'natural memory'. The other is mediated memory and is found in higher level mental functioning in which the inter-functional relations enact to connect memory with other functions. It is this process that occurs through social interaction which the tutor facilitates by mediating learning with the learner, which is highlighted in this study.

Vygotskyian constructivism (Atherton, 2005; Mayo 2010) encompasses radical, social and sociocultural theories (Karpov, 2003, 2006). Each learner individually and socially constructs meaning (learning) as knowledge is acquired and produces twofold consequences. Firstly, the learner can think about the process of learning (that is meta-learning) as well as the subject being taught and secondly there is no knowledge independent of the meaning attributed to the experience (that is learning through experience as constructed by the learner) (Hein, 1991) or making interpretations.

Interpretations have resonance psychodynamically (Glucksman, 2001; Tabin, 2006) because they are examples of advanced therapeutic skills (Crits-Christopher *et al*, 2005) explored in this study. An interpretation repeats something and might be considered to drain that something from the unconscious into

consciousness, via symbolic and language formation (Erdelyi, 1992; Moncayo, 2006).

Vygotsky (1978) proposes the child's earliest speech is social progressing to 'inner speech', which is a later developed stage of transformation from communication into individualised thought. Within this 'inner speech' Vygotsky makes the distinction between 'word meaning' (reflecting a general concept) and 'word sense' which depends on the context of the speech, with a predominance of sense over meaning (Rose *et al*, 2005). In the phenomenon of inner dialogues or speech, Vygotsky (1986) reflects on the problem of the personal senses of words, especially important for a student where English is a second language, as discussed in this study.

Foregrounded in Vygotskyian theory is the relationship between interpersonal and intrapersonal communication (Richardson *et al*, 2007) and here there is a relevant cross-paradigm reference and connection to psychodynamic theorists, for example Winnicott (1965) and Bowlby (1971, 1980, 1988). This cross-paradigm connection, involving interpersonal and intrapersonal communication, is particularly significant in the work of Lemma *et al* (2011), who are developing brief dynamic interpersonal therapy [DIT] for use by clinical practitioners as a part of Improving Access to Psychological Treatments [IAPT] service within the NHS. The interpersonal and intrapersonal planes help form the framework through which data is analysed in Papé's (2015) study.

Vygotsky highlights the tension of how the external and inner dialogues combine to acquire a psychologically individualised form (Kozulin *et al*, 2003; 2007). Vygotsky (1986) considers these two important processes were interwoven, that is the transition from external communication to inner dialogue and the expression of intimate thoughts in linguistic form, thus making them communicative.

Influence of Freud and Vygotsky

Thus, it can be noted both Freud and Vygotsky have an influence that far surpasses their original contribution. That Freud '...provided the undisputed starting-point of the modern psychodynamic study of the human personality...' (Guntrip, 1973: vii) is generally accepted by psychoanalytic and psychotherapeutic thinkers. That Vygotsky's theories turn out to be instrumental in shaping the learning processes in '...understanding that human cognition and learning as being social and cultural rather than individual phenomena...' (Kozulin *et al*, 2003:1) is universally accepted when considering knowledge as information rather than the product of concept-formation. Where the development occurs is in the application of Freud's and Vygotsky's postulations by theorists and practitioners who discover areas that original propositions have not visited. This can be considered the strength of development, which happens on a continual basis by theorists and practitioners who apply original thought to changing circumstances and contexts.

Students' perceptions

The constructivist paradigm rests on an understanding that the tutor needs to know exactly where the student is in the stage of learning. Some important findings emerge from research into students' perception, for example Dochy *et al* (2005) show that, in general, students value having their views considered when designing learning activity (Stetsenko, 2005).

Students' understanding of facilitative factors, including stated preferences (Smith, 2006) for how they learn, do matter (Struyven *et al*, 2008). Use of portfolios (Segers *et al*, 2008) and learning aids, including worksheets which are used widely in psychotherapy training courses as shown in this study, is highlighted in Doppelt & Schunn's (2008) research as being enabling for students and therefore beneficial. Portfolios and worksheets are psycho-dynamic course resources and assessment tools (Sobral, 1997).

Seeking students' perceptions (Stones, 1987) and how these might change (Gottman, 1996) throughout the life of the course (Postlethwaite & Maull, 2011) is important because of the Vygotskyian framework under which this research is completed. What is important is the act of finding out students' perceptions, rather than the perceptions themselves (Freeman, 1993).

The idea that psychotherapy training is based in universities²⁰ because it requires the depth of understanding and analysis, which is the hallmark of university study, has direct pertinence to this research, as the eight student interviewees are attending or have attended university (Werring, 1987) or Higher Education courses (Middlehurst, 2001; Anderson *et al*, 2003; Ramsden, 2003).

I use integrated psychotherapeutic skills (Sanders, 2002), particularly of listening, in a manner that facilitates the student to tell her²¹ story or narrative²². Student narrative is taken to mean students' own words and meanings attached (deRivera & Sarbin, 1998; Shacklock, & Thorp, 2005), encouraged by my questions and interventions posed in such a way that the student feels free to respond openly.

In constructivist terms Wearmouth (2002) notes there is recognition that

'...at the centre of each account 'dwells a protagonist' (Bruner, 1990) and turning points are important because they result in change in protagonists' orientations to the world. They represent crises points brought about almost invariably by an access of new consciousness. It is at these points that the canons of logical consistency are 'violated' and the 'engine of drama' (Bruner, 1986) is built...the depiction of reality not through an omniscient eye that views a timeless reality, but through the filter of the consciousness of protagonists in the story...' (Wearmouth 2002:280).

²⁰ This is the title of Michael Jacobs' journal article (2002) in which he proposed very eloquently and pragmatically that psychotherapy training should be held in Higher Education universities, an idea originally promulgated by Freud (1956) and Kernberg (1980).

²¹ See footnote 5 (use of female pronoun to identify students participating in this research)

²² Vygotsky discusses narrative as being understood and representative of student world-views.

Students relate their stories in their own idiosyncratic and individualistic ways, termed 'subjectification'²³ (Bruner, 1986). They use their own lenses, which they form from their sociocultural experiences and as such are the central characters in their stories. There is no universally accepted truth to students' stories, only their representation, clearly postulated as others '...see only the realities of the characters themselves...viewing only the shadows of events we can never know directly...' (Bruner, 1986:25). When learning is deconstructed and reconstructed new understanding emerges, which might challenge previously unconscious defence mechanisms of coping strategies, a concept from the psychodynamic therapeutic paradigm.

There is evidence that many students find talking about their course experiences to be affirming and enabling (Middlehurst, 2001, Tabin, 2006). To ask questions in a detached way, from the aspect of solely interviewer, can counter the importance of the relationship and be detrimental to understanding and utilising the process (Wheeler, 2010).

In research terms the question of the ability of students to give valid judgements on teaching is commonly formulated as an examination of whether factors beyond the

control of the teacher, from a psychodynamic perspective, influence or contaminate the student ratings (Kember & Wong, 2000). Some student interviewees seem to show a built-in resistance when offering critiques of a tutor's performance. Some students show loyalty and others do not wish to appear critical.

Choice of paradigms

The constructivist approach to learning (Vygotsky, 1925, 1986; Atherton, 2005) is chosen as one of the two paradigms from which I have included elements into one conceptual framework for this research, the other being from the psychodynamic approach to psychotherapy (Delmonte, 1987). I believe social constructivism is compatible with my psychodynamic practice as a tutor in supporting students to develop into autonomous learners. In this sense there is congruence between the two analytical paradigms of Vygotskyian sociocultural constructivism and psychodynamic approach to Freudian analysis and psychotherapy. To my knowledge there has been no other research which marries elements from these two approaches to create a framework for constructing research and lenses through which to view data. I have outlined Vygotskyian theories of learning to enable the reader to understand the analytic framework used to analyse the data.

To understand the enabling process associated with psychodynamic theory, through sociocultural constructivist lenses, is the reason the two paradigms have been

²³ 'Subjectification' is a word originated by Foucault to describe the construction of an individual subject or how an individual turns himself into the subject (Foucault, M. (1984) *The Foucault Reader: An Introduction to Foucault's Thought*, ed. P. Rainbow, 3rd edition, London: Penguin)

chosen. This study brings together elements of both paradigms which lend themselves to the tutor enabling students to learn autonomously to become cathartic counsellors (Tønnesvang *et al*, 2010). The social constructivist viewpoint suggests the ZPD (Vygotsky, 1927) in which sedimented knowledge related to psychodynamic training is mediated by the tutor for the student to construct learning and the psychodynamic viewpoint suggests the tutor enables the student to connect with strengths and weaknesses through past experiences, aided by tutor modelling (Folkes-Skinner *et al*, 2010).

Critique of choice of paradigms

To offer critical analysis of paradigm choice (Barnett, 1997) for this research gives an opportunity to consider conflicting interpretations (Piper *et al*, 1993) of the application of postulations of historic theorists in a modern context. Freud and Vygotsky are the two 'founding fathers' of the two paradigms through which I construct this research. Theorists following the two original thinkers offer more modern interpretations acceptable to students who have reservations about applying historic thought to modern circumstance. However this does not lessen the impact of leading thinking of Freud and Vygotsky but places it in historical context. Some of the practices of early theorists are certainly taboo today, including for example sexual relationships with patients, drug abuse and using mentally challenged patients as 'guinea-pigs'. These practices, without the controls and boundaries (Bridges, 1999, 2001; Sinsheimer, 2007) of modern day thinking,

if not widespread, were found during the time and in context of the two theorists,

Freud^{24/25} and Vygotsky.

Contribution to knowledge

A particular contribution to knowledge (Engel, 1965), which is very clear in this research is, I believe, using lenses from elements of the two paradigms of psychodynamic and sociocultural constructivist thinking into a framework for analysing data which has illuminated findings (Moulding, 2010) in this research. By employing elements of these two paradigms, I have produced a framework of analysis (Payne & Farquhar, 1962) that could be used in many areas of research in the fields of education and psychotherapy. This framework of analysis, in which I have used dual lenses from elements of two different paradigms, might be useful and help to illuminate other research in appropriate fields, including psychotherapy, especially as the psychodynamic approach

²⁴ Dr Tylin offers commentary on Freud's seemingly incongruous behaviour as an analyst '...Freud allowed the Rat Man access to his private life, violating technical principles he was in the process of formulating. The Rat Man must have elicited a strong countertransference pull on Freud. How else can we understand Freud's gratifying his hungry patient by inviting him to a meal? What about Freud's financial support to the Wolf Man? Freud often disregarded his own recommendation that analysts avoid taking into treatment patients they have met before either socially or in medical settings. The analysis of his daughter Anna was certainly an unorthodox one. In the process of creating psychoanalysis, Freud took a few side trips into forbidden territory. Today's Freudian analysts may classify these incursions as loaded with unethical potentials. How do psychoanalysts reconcile the tendency toward stretching the frame with the ethical demands of their profession? When does a humane act or a kind gesture become a crossing over or a violation of boundaries?' (Tylin, 2004: 610).

²⁵ Further evidence of Freud's pro-bono activities is offered in literature which recognised examples of him offering free clinics to patients in Vienna (Cresci, 2010).

to psychotherapy does not have a specific theory of learning.

This could be looked on as a way of using pre-existent theories from the two paradigms to utilise a framework for analysing learning within a psychodynamic approach to psychotherapy training in an innovative way and one which emerged from my analysis and reflections. Ultimately, this has the potential to inform further research for those interested in creating a learning theory for the psychodynamic approach to psychotherapy, which is an exciting prospect.

From this structure there emerged an understanding of how students developed in each stages of the course and any appropriate research that considered similar structure could use this framework.

Considering the dynamic interplay between process and content, through the two-paradigm lenses, was a major contribution to knowledge of this research. Supervisory input has, in a constructivist sense, enabled me to reflect intramentally and understand that utilising elements from the two paradigms is best envisaged as holding both lenses at the same time, going from one to the other, as well as applying each to the other. The dynamic application of this internal and external reflection, from a detailed understanding of psychodynamic and constructivist thinking, is what made this research original and provided original findings from which implications, as described below, were drawn.

Irreconcilable paradigms

The two paradigms came from a history of tension and contradiction. Vygotsky labelled this divergence a 'crisis' as he considered the paradigms were irreconcilable. In Vygotsky's time the debate existed between the positivistic thinkers who addressed behaviour and those who worked with unconscious material, between external and internal worlds. This article has not attempted to find a solution to the problems of irreconcilable difference. Particular relevance to this research, is to find out how Vygotsky's claim of the tension between psychodynamic (structured) thinking and constructivist (unstructured) thinking, has application to this study. The specific part of the argument that has been considered here has focussed on one area of the discussion Vygotsky and other educational psychologists had within that debate, which was understanding learning about psychoanalytic (psychodynamic) theory from the perspective of constructivist thinking.

One of the issues that Vygotsky grappled with was working with psychodynamic theories and constructivist cognitive theories, which culminated in a belief that psychotherapy was structured and constructivist theories were unstructured and depended on societal and cultural influences (Vygotsky, 1927). When applied to the context of this research, it is the tension effectively between Vygotskian ideographic phenomenological constructivist thinking and the relatively nomothetic paradigm of psychodynamic

understanding, albeit including material dwelling within the unconscious.

Synthesis

This study acknowledges that synthesising aspects of the two paradigms and moving from one to the other, for this research cannot be complete, as there remained discordance in many aspects of nomothetic psychodynamic and ideographic constructivist thinking.

Vygotskian sociocultural constructivist theories assume that all people construct their own interpretations in learning and psychodynamic theories assume a rule-based structure in the sense that there are definite concepts applied and stages through which the individual develops and to which he or she regresses. On the surface it seemed the two paradigms are incompatible, even though Vygotsky tried to understand psychology within constructivist thinking.

What I have discovered was perhaps that there were elements of each paradigm that could be developed alongside each other successfully, some of which I have highlighted in this article. This is the metaphorical understanding of the process of standing on the outside (externally), looking at the students' data and using the constructivist lens to think what has been going on in process and then step back again inside and make interpretations through a psychodynamic lens. This of course has resonance with and is informed by the Vygotskian concept of reflecting intermentally and intramentally. Much useful material emerged in the research

(Pap  , 2015) as a result of the aspects that have been used in the lenses and the integrity of the two paradigms remains.

The research has located and utilised those parts of the two paradigms which, although they considered different domains, did overlap and did not suffer from the contradictions of nomothetic and ideological thinking.

Future research

My hope and expectation is that future researchers take forward the challenge of developing and creating the lenses through which to inform learning of the psychodynamic approach to psychotherapy and develop them into a clear theory of learning, underpinning psychodynamic teaching in the future.

The framework that structured the original research could in the future inform research into the theory of learning for teaching the psychodynamic approach to psychotherapy, underpinned by the knowledge that methodologically, realist ontology is nomothetic and related to general laws. On the other hand interpretivist epistemology is hermeneutic (Gadamer, 2006) in nature and related to constructivist ontology (Arthur *et al*, 2012).

These concerns shaped Vygotsky's thinking about the nature of sociocultural constructivism and psychoanalysis and he considered that a synthesis of the different paradigms incompatible with maintaining the true nature and integrity of each. Vygotsky (1927) dismissed heterogeneity as an attempt to respond to a question raised by one paradigm with an answer

from another. This research took a somewhat different view, although acknowledging discrepancies between the two paradigms remained, as noted above

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Entrepreneurship and Innovation: Tackling business failures in the UK through developing a prior-learning model.

Arif Ahmed Sunny

Abstract

According to current data, business failure rate is a significant issue in the UK. Between 2001 and 2015, the rate of business closure almost matched the rate of start-ups in any single year. The author finds it interesting that data throughout this period shows business births outnumbering business deaths by only 87,000. This narrow margin raises questions about the real reason(s) prompting the seemingly high death rate and closure of businesses. In this article, Schumpeter's Theory of Economic Development is used to demonstrate the importance of small enterprises to the UK's economic development, and data from ONS (Office for National Statistics) are provided to support findings. Results are analysed by reference to external and internal factors affecting businesses, particularly in start-up stages. On the basis of findings, the author presents a model framework, which he believes can be used to inform future research in achieving higher success rates in enterprises.

Keywords: *Enterprise, Innovation, Business Failure, Schumpeter's Theory of Economic Development.*

Introduction

Four major features of Schumpeter's theory of economic development, particularly relevant to this article are: (1) Circular flow, a routine course of labour, land and flow that generates income in every economic period in order to convert into satisfaction of needs; (2) The role of the entrepreneur involved to be innovative or to develop something new, to demonstrate the willingness to prove superiority and to experience the joy of creating new product or processes; (3) Business cycle, the process through which economy suits itself to a new state of economic condition, commonly generated through crises, and (4) Creative destruction of capitalism which suggests that once the 'new' takes place, the 'old' ceases to be relevant and entails the destruction of the 'old' (Schumpeter, 1912). Based on this understanding of Schumpeter's theory of economic development, small businesses are a significant tool that can develop innovative products and processes that can fundamentally change the economy (Wennekers and Thurik, 1999). Therefore, the author believes it is significantly important for the economy to have more start-up businesses to bring in the 'new'.

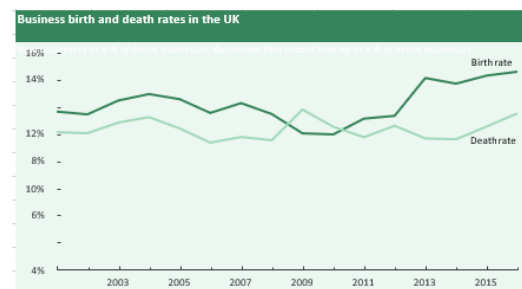
Business closure

Current statistics indicate that business failure is a significant issue in the UK. The rate of business closure and the exodus of entrepreneurs almost matches the rate of start-ups in each year (see Table 1 below), and statistics show that from 2001 to 2016 the birth rate of new enterprises and the death rate of enterprises are very similar (Graph 1), with a differential of only 87,000 during the period. This scenario proposes that there is a significant gap in knowledge relating to business closure. As a result, despite having high rates of business formation, the reason behind the high rate of business closure has still to be established. The data shown in Table 1 includes those businesses that are VAT registered, meeting the turnover threshold; so the author considers it likely that the exact number of business failures is substantially higher if smaller businesses are also considered.

Table 1: The business birth rate in 2016 is the highest since at least 2001

Births	(000s)	Birth Rate	Deaths (000s)	Death Rate
2001	243	12%	212	10%
2002	243	11%	213	10%
2003	267	12%	232	11%
2004	280	13%	244	11%
2005	275	13%	228	10%
2006	256	12%	207	9%
2007	281	12%	224	10%
2008	267	11%	223	10%
2009	236	10%	277	12%
2010	235	10%	249	11%
2011	261	11%	230	10%
2012	270	11%	252	11%
2013	346	14%	238	10%
2014	351	14%	246	10%
2015	383	14%	283	11%
2016	414	15%	328	12%

Graph 1 The business birth rate in 2016 is the highest since at least 2001.



Stokes and Blackburn (2001) suggest that 'failure', 'closure' and 'exit' from business are three inter-related terms in literature, with the failure to gain business objectives leading to closure and the exit of owners from the business. In this article, there is an attempt to analyse critically the different factors and relevant literature behind business failure and to identify the most and least convincing explanation of the scenario. It is important to analyse business failure as, in reality, more businesses close than successfully grow (Storey and Greene, 2010).

According to the 'Circular Flow' feature of Shumpeter's Theory of Economic Development, the main objective of a business is to generate income. Thus, the primary reason for failure of new businesses is insolvency, due to insufficient profit margins, often caused by the unsuccessful level of sales (Marcella and Illingworth, 2012). Stokes and Blackburn (2001), suggest that factors of financial insolvency include indebtedness and pay-off for the owner. Dun and Bradstreet

(2001) evidence (Table 2) that 10% of small businesses close due to bankruptcy. Healy and Lynas (1997) similarly opine, suggesting that, "...failure is generally regarded as the discontinuance of the business due to a lack of adequate financial resources..." (Stokes, D. and Blackburn, R. 2001:33).

Table 2: UK statistics on business closures and liquidations

000's of businesses	YEAR			
	1997	1998	1999	2000
TOTAL BUSINESS STOCK	3708	3658	3677	3723
MAINSTREAM BUSINESS STOCK	2656	2721	2777	2785
BUSINESS CLOSURES	443	389	382	393
% Closures to total business stock	11.9	10.6	10.3	10.5
LIQUIDATIONS & BANKRUPTCIES	36	39	43	41
% Liquidations to total business stock	0.5	0.5	0.5	0.5
% Liquidations to business closures	2.8	3.4	3.7	3.7
VAT REGISTRATIONS – TOTAL	1,621	1,651	1,658	1,664
DE-REGISTRATIONS	164	156	172	177
% de-registrations to VAT stock	10.1	9.4	10.4	10.6

Source: Small Business Service, 2001; Dun & Bradstreet, 2001.

Watson and Everett (1996) accumulated possible reasons for business closure or discontinuation and proposed several ideas from various sources. According to Ulmer and Nielson (1947), for example, firms were sold or liquidated to avoid the consequences of future losses. That provides a view that many business owners sell or liquidate their business when the owner realises that the business will under- perform in the future and will not generate the income or objectives required to avoid the full consequences of insolvency.

Another study by Cochran (1981) suggests that when a business does not meet the owners' expectations of earnings or generate the level of income or objectives expected, the business closes. Watson and Everett (1996), explored several other reasons for business closure, including: 30% of businesses were closed due to the owner's retirement or ill health, 7% of business were closed due to low profit margins and 20% businesses closed due to the owner changing focus. Interestingly, the study made by Watson and Everett (1996) indicates that almost 50% of business closures were due to factors other than insolvency.

Further research (Reynolds and Miller, 1992; Sullivan *et al.*, 1998) shows that when a business is in the development stage, it goes through many difficulties and may fail within the first twelve months of trading. Conversely, Conway (1996) shows that business size has a substantial impact on the growth of the small businesses, particularly in a micro-business environment.

On the basis of the literature reviewed, the author concludes that different issues exist, based on the types of business and the business closure factors that trigger the failure and closure of businesses, especially in the start-up stage, which seems to be a very vulnerable time. Both causal factors and vulnerability can be experienced very differently at other stages in the setting up of businesses. Mehralizadeh and Sajady (2005) suggest that business entrepreneurs

face three major stages: (1) Developing the idea of the business, (2) Start-up activity and (3) Running and consolidating the business. Every stage has different points at which the business might struggle and can be impacted adversely by internal and external factors.

Internal Factors

The three Internal factors identified are personal characteristics of entrepreneurs, business planning and financial management. Sullivan *et al.* (1998) propose four personal characteristics, any one of which needs to be present in a successful entrepreneur: (1) an achiever, (2) an empathic trader, (3) an innovator and (4) a true manager. However, as the author notes, an achiever could tend to expand a business in a very short period of time, without gaining sufficient product knowledge or organisational skills; so the presence of additional characteristics is considered desirable. In this context McClelland (1967) describes the psychological characteristics of a successful entrepreneur, which include '...a need for achievement, [a] propensity for risk-taking, personal and interpersonal values and innovativeness...' (Low and MacMillan (1998:147)

While many researchers are attempting to identify characteristic patterns of personality demonstrated in successful entrepreneurs, Brandstatter (1997) suggests that small businesses may fail within the first five years of their birth because of the misfit

between the personal characteristics and the skills necessary for the tasks to be undertaken in the business: specifically, to demonstrate the risk-taking attitudes, flexibility and persistency required to achieve goals in the development stage. Dun and Bradstreet (2001) establish that 88 percent of business closures are the result of poor management skills and poor decision-making. The twelve leading mistakes made by business owners described in the study of Mehralizadeh Y. and Sajady S. (2005:3) and summarised by Paul Lewis are set out below:

- 1) Going into business for the wrong reasons,
- (2) Advice from family and friends,
- (3) Being in the wrong place at the wrong time,
- (4) Entrepreneur fatigue and/or underestimation of time requirements,
- (5) Family pressure on time and money commitments,
- (6) Pride,
- (7) Lack of market awareness,
- (8) The entrepreneur 'falls in love' with the product/business,
- (9) Lack of financial responsibility and awareness,
- (10) Lack of a clear focus,
- (11) Over-abundance of working capital and
- (12) Overly optimistic, realistic or pessimistic....

Business planning

One of the most significant stages of starting a business is its planning stage. Poor planning of business, management and marketing may lead the business to failure and subsequent closure. Business planning involves many activities: for

example, undertaking market research that considers the scope of the business in the market, its audience or market demand, setting objectives for business expansion in the future, and anticipating cash flow.

Effective business planning can facilitate the opportunity to create the long-term vision, set the necessary objectives and provide sufficient resources to realise the vision of gaining income (Sullivan *et al.*, 1998). This process involves research of the market, to collect necessary information and data and the production of a clear business plan which sets out long-term objectives that is comprehensive and well structured. However, Mintzberg (1994) argues that even though planning can be beneficial for a business, the value of business planning is context-dependent. Consequently, benefits are indeed variable, depending on the context of the business.

Financial Management

For start-up businesses, financing can be a struggle in the setting-up stage. Entrepreneurs often generate capital to fund their idea by savings from full-time or part-time employment, borrowing from relatives, selling or mortgaging properties or from employment loans. For example, there are opportunities in the UK to apply for start-up loans of up to £25,000. The question is, how much does it help? According to the UK Business Forum (2017), in the period 2013-2014, 49.6% of start-up loans were in default (Table 3, column 2). The author believes that

the reason behind defaults in payments, defined as being three or more payments in arrears, is due to poor planning and the misfit between the characteristics of entrepreneurs and the business context. Whatever the source of the capital, entrepreneurs need to have resources available for planning and financial budgeting in the start-up process.

Table 3: Annual percentages of default in start-up loans (UKBF, 2017)

Origination	No.	Value of loans	Payment default
2012-13	1,820	£9,631,751	45.70%
2013-14	12,628	£69,840,358	49.60%
2014-15	13,488	£66,525,878	32.80%
2015-16	9,141	£64,111,534	18.90%
2016-17	8,541	£81,979,030	4.00%

External Factors

Any business operates in an environment and, to succeed, the business needs to adapt to the opportunities existing within that particular environment; therefore, it is essential to know the external constraints that might mitigate against the ability of a business to survive in the long-term (Kalleberg and Leicht, 1991). Existing literature suggests that economic,

governmental, social and external factors have a substantial impact on the ability of businesses to become successful entities in the longer term. This is particularly the case in the start-up stage.

A majority of small businesses establish roots in the community where the owner already lives; therefore, to some extent, the probability of success is dependent on the geographical location (Sullivan *et al.*, 1998). As a result, it is highly likely that small businesses, at start-up, will have a very limited opportunity to enter the large business sector and operate in a macro-environment. The author considers it easily understandable that business start-ups in localised micro-environments, where there is an absence of large businesses, are likely to secure the best opportunities for development. This view is confirmed by Keeble and Walker's study (1994), which found that locality exerts a significant influence on the development of small businesses.

Small businesses play significant roles in encouraging the economic growth and development of local communities by expanding and maximising employment. Therefore, it is essential for central and/or local government to provide assistance and aid packages to help owners of small businesses. Other positive steps that governments can take to facilitate business start-ups include: minimising levels of bureaucracy by easing government regulations, ensuring discounted tax regimes, providing easily accessible start-up loan opportunities and offering

subsidised training programmes. (Mehralizadeh and Sajady, 2005).

Access to social support can be an important factor in strengthening the abilities of small business owners to face issues and overcome obstacles when they start new businesses. According to Burden (1993), the sense of responsibility for supporting families assumed by some entrepreneurs of SMEs, may represent a serious disadvantage for owners who have high family commitments. For example, Loscocco *et al.* (1991) suggest that female entrepreneurs may be unable to devote as much time to their businesses as their male counterparts, as a consequence of family commitments, and, therefore, a negative impact on business growth may result.

Lussier (1996) suggests that a greater understanding of the particular industry and operational requirements for small businesses will increase small business owners' prospects for success. They will acquire a wide knowledge of the business they want to operate, in addition to gaining an understanding of the environment in which they are planning to operate, the opportunities for and threats to the business, the barriers to trade, competition in the existing marketplace and other emerging issues developing in the external environment.

Conclusion

Reflecting on the above theoretical discussions, the author believes that both the fear of insolvency and the actuality of

internal and external environmental factors must be considered in the business start-up stage, in addition to setting longer-term aims and objectives. An entrepreneur must be aware of the factors that influence the initiation of the process.

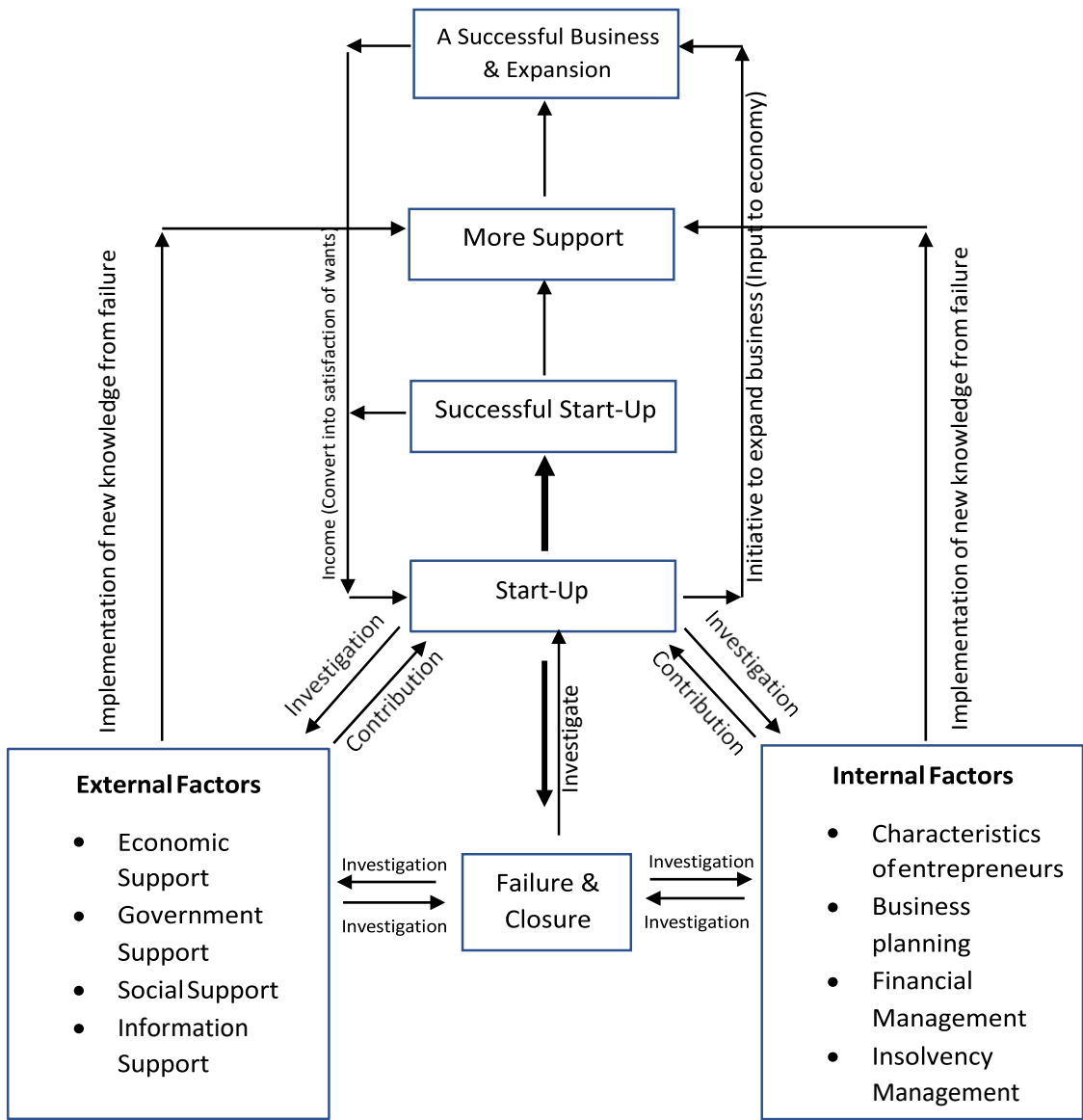
Therefore, the author proposes that insolvency alone cannot be a reason for a start-up business to fail and result in closure. There are many other factors that may trigger the failure of a start-up or small business. Consequently, the presence of other variables diminishes the value of the concept that failure in the discontinuance of the business is due primarily to the lack of adequate financial resources. As the data shows, more than 50% of start-up or small business failure and closure happens because of external and internal environmental factors.

The author has developed a model (Figure 4) based on the significance of information-flow between all the stages in the setting up process of a business, covering all aspects of impact factors. Business failure can provide essential information for the future growth of a successful business. After receiving support from the resources available within the internal and external environments, there are two possible outcomes for a business: (1) successful start-up, (2) failure and closure.

If the outcome is failure, then the author suggests that a full investigation should ensue to acquire knowledge that can then be applied to starting a successful small business venture in the future. The proposal is for the entrepreneur to use

knowledge of external and internal environmental factors as a contribution to assist in the start-up stage and as a continuous process to help establish and expand the business. To this end, the author proposes a model framework that could be used to improve prospects for the survival of small businesses on the following page.

Figure 4: A model framework to contribute in Start-up Business survival
by Author



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The Syrian Identity (1): An exploration of the legacy of colonialism illuminating the Diaspora of anation

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Abstract

The Syrian identity crisis in the form of the civil war is entering its eighth year, claiming the lives of approximately 400,000 people and provoking the displacement of more than eleven million people. Consequently, this article is motivated by the desire to demystify Syria through unveiling the complex internal dynamics and how these complexities came to be, in addition to a humanitarian concern for the human cost of the Syrian identity crisis. The focus is to investigate the effect of colonialism on the Syrian national identity. This theoretical investigation analyses sources from a post-colonial constructivist perspective and argues that the Syrian identity crisis can be traced back to colonialism. The results suggest that the Syrian experience of colonisation has informed current identity politics in Syria. Overall, the findings of this work suggest that former colonisers bear a degree of responsibility for the identity crisis that has since unfolded in Syria. This work contributes to understandings of identity politics. Explicitly, the significance of identity within the Syrian experience suggests that identity is a noteworthy factor that can shape both domestic and international politics and thus, requires more attention.

Keywords: Colonialism, Identity, Syrian Diaspora, Syrianism, Westoxification

Introduction

The Syrian Diaspora can be taken to mean the general migration of Syrians into, through and from Syria (Mehchy&Doko, 2011). In this article the authors are concerned with those inhabiting Syria only. Research²⁹ undertaken evidences the so-called 'Arab Spring' uprisings have renewed external interest in the Middle East and North Africa (MENA) (Gause, 2011; Bellin, 2012; Çarkoğlu, et al., 2018; Scott and Carter, 2015; Avraham, 2015); yet, as McHugo (2014: 25) writes, "to the English- speaking world, Syria is a far-off country which relatively few people have made a serious effort to understand". The Syrian identity crisis in the form of the civil war is entering its eighth year, claiming the lives of approximately 400,000 people and provoking the displacement of more than eleven million people (Kaplan, 1993; UN News, 2018; CNN, 2018; Amnesty International, 2018). This forms the motivational foundations for this work, and authors have sought to demystify Syria by unveiling the complex internal dynamics and how these complexities came to exist. Further motivations have been engendered by humanitarian concerns arising from the devastating effects of Syrian identity crises.

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³ This article is based on and contains extracts from the unpublished Dissertation submitted for BA award at University of Birmingham 'The Syrian Identity: An exploration of the legacy of colonialism', by Isabel Morrell (2018).

Identity politics holds significance for the real world and is not merely a subject for theoretical debates taking place in the “ivory tower of academia” (Zemni, 2013: 136). The practical relevance and significance derive from its implications for nation-building and social cohesion. The interpretive nature of politics highlights the importance of identity and identification. Interpretation involves self-reflection: that is to say an individual considers and constructs an opinion based on inter-subjective narratives of self-identification, based upon shared experiences of history (Mattern, 2001; Hopf, 1998; Braun, 2007; Bhabha, 2004; Mivahara, 2015; Weedon, 2004). Moreover, identifications are used to categorise binaries of ‘self’ and ‘other’ which can lead to discrimination and antagonism (Hopf, 1998; Braun, 2007; Mattern, 2001; Derviş, 2015).

Accordingly, meaningful narratives of events and history are significant as constructions of history that imprint “the present onto the past” (Friedman, 1992: 837). Throughout the MENA’s modern history, inequality and exploitation have characterised the Global North’s⁴ interaction with the Middle East (Gelvin, 2005; Goldberg, 2016; Dowd, 2009). An example is the partitioning of the former Ottoman Empire following the First World War; indeed, the bizarre and large indent in Jordan’s border with Saudi Arabia is often referred to as “Winston’s hiccup” (Diener & Hagen, 2010; White, 2011), alluding to the seemingly trivial approach that the great powers took in the division of the MENA.

For Syria, colonialism⁵ plays a role in informing the national collective memory. The focus of this article is to uncover the legacy of colonialism within the Syrian national identity. The underlying argument throughout is that the Syrian identity crisis can be traced to colonialism. Findings of this study will demonstrate the significance of identity within domestic and international politics.

The question that has shaped this treatise has been: what impact has colonialism had on the Syrian national identity? Gelvin’s (2005) conception of colonialism informs, the acquisition of excessive control and influence over significant elements of weaker societies. This definition is useful since it does not limit exploitive domination to the formal acquisition of land through conflict and facilitates the study of informal interventions and neo-colonialism. The focus throughout this work has been primarily on Syria’s ‘modern’ history, from the twentieth century; yet, the analysis is rooted more broadly in Greater Syria’s history from the nineteenth century. The reason for this is the increased European interaction with the MENA, namely, the French Mandate that followed the First World War (Milton-Edwards, 2016; Gelvin, 2005).

⁴ The terms ‘West’ and ‘Global North’ are used interchangeably to refer to the dominant states in the international realm (Steans, 2015)

⁵ Gelvin’s (2005) conception of colonialism as acquisition of excessive control and influence over significant elements of weaker societies.

The Syrian identity is investigated using a deductive theoretical approach that draws upon the themes of identity, identification, the nation, nationalism and identity politics, alongside elements of post-colonialism and constructivism in an attempt to provide a comprehensive analysis of the Syrian identity. 'Identity-politics' refers to how group categorisations and identifications are imbued in political activism (Wiarda, 2016). Taking a constructivist approach, enabled a social ontology and epistemology, whilst emphasising the role of norms, ideas, institutions (informal and formal), interests and a socially constructed reality (Steans, *et al.*, 2010; Fierke, 2010; Barnett, 2014). This work was approached from the analytical and critical post-colonialist perspective, seeking to implement a refocused approach to analysis and to demonstrate the lingering legacies of former colonial hierarchies in contemporary international relations (Nayar, 2010; Sylvester, 2014; Craggs & Wintle, 2016).

Nations and National Identity

In the literature reviewed, the nation, nationalism and national identity address questions of identity since all are concerned with collective identifications, and, central to all, is the idea of the nation (Heywood, 2003). Yet the 'nation' is a concept that is widely debated. Wallerstein (1984: 20) understands nations to be "solidarity groupings" within boundaries that are constantly subject to redefinition and social transmittal, whilst Smith (2010: 13) explains it as a 'human community with a shared history, common myths and distinguishable public culture whose members are all subject to common laws and customs'. Smith's approach is *primordialist* since there are cultural and linguistic commonalities that are historically embedded and instinctual; conversely, *situationalism* explains national identity as an interest, a reaction to evolving contexts and challenges (Smith, 2013; Brown, 2000). In contrast, Gellner (2006) argues that nations are modern inventions resulting from the development of industrialism and increased social mobility that required the creation of a common identity. Gellner's view is supported by Breuilly (2006) who maintains

that national identity is based on culture presently, owing to the transition into industrialism. Hobsbawm's (2012) approach to nationalism is *constructivist*. He understands the 'nation' as a concept that is constantly evolving; yet, nationalism is an ideology, instrumental to elite interests, power and exploitation (Smith, 2013; Brown, 2000; Forrest, 2004).

Anderson (2006: 6) propagated the idea that a nation is "an imagined political community", since members of a nation envision an "image of communion" with one another, but will never know or interact with most fellow members. Chatterjee (2012) rejects Anderson's theory since it attempts to universalise Western history and scholarship; similarly, Mayall (1993) highlights the problematic nature of applying a single conception of the nation to culturally heterogeneous states. Indeed, Kedourie (1993: 1) writes, nationalism is "a doctrine invented in Europe" that corresponds with Hroch's (2012: 79) understanding of the nation as a distinctly European process of historical development, defined as "a large social group integrated

through objective relationships...and their subjective reflection in collective consciousness”.

National identity has been historically important in European state-building: specifically, the creation of a national identity, spawned from a shared ethnicity, religion, language, culture or history, that forms a bond of unity and social cohesion between groups of people (Moreno & Colino, 2010; Minahan, 2002; Languèche, 2016; Luong, 2016). Said (2001a) draws attention to Western identifications of the *Orient*, the undefined geographical location in the East, that comprises Europe’s former colonies, where civilisation is fundamentally different to that of the West and exists as the Western *Other*. He argues that these images of the *Orient* have shaped contemporary Western thought. Warraq (2007) objects, arguing that Said has falsified history. Mart, *et al.*(2010) considers Said’s work to be an elaborate fantasy constructed on belief.

Said (2001a; 2001b; 2004) is a prominent figure in post-colonialism; a similar thinker is Spivak (1988), who argues that contemporary Western relations with the non-West are hierarchical and that colonialism lingers somewhat in Western discourse and studies. Bhabha (2004) links post-colonialism with identity politics by suggesting that the coloniser constructs his identity against that of the indigenous. It follows then that the coloniser requires the colonised to exist in order to self-identify, explicitly, the binary indigenous Other, which allows the coloniser to create his own identity.

Westoxification

On the other side of this dichotomy is Ahmad (1984), who coined the term *gharbzadegi* (Westoxification) to denote the complicit promotion of Western identity and lifestyles. Ahmad (1984: 28) defines the East and West as economic concepts: “the West comprises the sated nations and the East, the hungry nations”. Westoxification, for example, was a central issue in the Iranian revolution and therefore impacted substantially on the Iranian identity, when Iranians united against the Shah in support of ‘de-Westoxification’. (Esposito, 2004; Hurd, 2008). Ultimately, however, Ahmad denounced the term *gharbzadegi*, on grounds that it formed an “unstable political alchemy” that made contrasting approaches appear to share common goals (Kohn & McBride, 2011: 37).

This East-West dichotomy has been interpreted famously by Huntington (1993: 22) as a “clash of civilisations”, referring to conflicting cultural entities, specifically, that of Islam and the West that characterises the post-Cold War world. His thesis has been largely discredited by a number of academics (Delkhasteh, 2011; Fox, 2002; Henderson, 2005), including, Said(2001b), who regard Huntington’s naivety and ignorance as sweeping generalisations that have been applied to current affairs incorrectly; yet, convincingly. Said (2001b) highlights the damaging consequences of defining the world in terms of the “West versus the rest” and of condensing complex identities into single categories such as the ‘West’ and ‘Islam’.

The MENA is a region that is often defined by the extent to which religion is intertwined within the state, and, despite its variance, Arabic

remains a unifying factor for the MENA as a powerful symbol of ethnicity (Myhill, 2006; Lee, 2014; Holt, 2013; Derviş, 2015). The Sunni-Shia divide is a widely discussed element of the supposed MENA identity (Derviş, 2015; Gonzalez, 2009; Abdo, 2017; Betts, 2013; Hashemi & Postel, 2017), in addition to the common history of exploitation by European powers that has renewed hierarchical relationships under the rubric of globalisation (Milton-Edwards, 2016; Henry & Springborg, 2010; Gelvin, 2005). Indeed, Gelvin (2005) notes that it is only post-9/11 that Americans have started to ask why the MENA hates them, when those in the MENA have been asking this question for over a century.

Lee (2014) notes that the nineteenth century European nation emerged following the development of widespread literacy and national literature, whilst in the Middle East, nationalism preceded the push towards mass literacy. Conversely, some authors emphasise the disparity of Middle Eastern identities (Lewis, 1999; Moaddel & Jong, 2017). Adib-Moghaddam (2018), for example, explores the distinct psycho-nationalism that is present in Iran. Whilst Helfont (2015) proposes that the MENA identity consists of ethnic nationalism, territorial nationalism and religion.

A seemingly important component in the Middle East self-identification is Arabism or Arab nationalism, the idea that all Arabs constitute a single Arab nation and are bound by a single compelling pan-Arab identity (Phillips, 2013; Dawisha, 2016; Wien, 2017; Kamrava, 2013; Porath, 2013). Arabism is understood to have emerged due to the British and French Mandates in regions formerly

known as the Levant and Mesopotamia (Gelvin, 2005; Fildis, 2011). Korany (2016) understands the unity of Arab states through their collective identifications of insecurity. Consistently, Lichtenheld (2015) discusses internal insecurities that are applicable to the entire MENA, namely, internal displacement, refugees, conflict spill-over and terrorism.

Syrianism

One of the principal proponents of Arabism is Syria, self-identified as the “beating heart” of Arabism and “the fortress of Arabism” (Al Arabiya, 2013; Spencer & Sherlock, 2013; McAvoy, 2013). Arabism, although historically intrinsic to the Syrian identity, is not the sole element of the national identity. Indeed, the Syrian identity is understood to be made up of three competing components: Arabism, Syrianism and Islamism (Rifai, 2014; Gelvin, 2005; Pipes, 1992; Beshara, 2011). These components represent three different features present within Syria: Arabism refers to the idea that all Syrians belong to a collective identity that supersedes Syria itself and appeals to Arabs as the organic community; ‘Syrianism’ refers to a sentiment that appeals to the unity of the Syrian territory and its inhabitants, that is, a disparate ‘Syrian’ identity (Beshara, 2011; Groiss, 2011); and finally, Islamism is the prominence that Islam holds within Syria with regards to politics, culture and society, exhibited through social movements of varying intensity and control (Zemni, 2013; Marcotte, 2005).

Whilst much of the literature touches upon or alludes to colonial legacies in Syria (Gelvin, 2005; Korany, 2016; Charlcroft, 2016; Milton-Edwards, 2016; Henry & Springborg, 2010;

Fildis, 2011; Rifai, 2014; Pipes, 1992; Beshara, 2011), no single work collates and focuses the colonial legacy specifically on the Syrian national identity. Given this gap in the academic literature, this article addresses this issue.

The Syrian Mosaic

The Syrian identity encompasses many group divisions within present-day Syria. Within the Syrian nationality, Arabs, Kurds, Armenians, Circassians, and Turkmen co-exist and Ethno-religious differences including Sunni Muslims, Alawites, Christians, Druzes, other Muslim sects, Jews and Yazidis are accommodated. Although Arabic is the main spoken language, Kurdish, Armenian, Aramic and Circassian are spoken, and English and French are widely understood (Jebb, 2004; Etheredge, 2011; Fisher, 2013; BBC News, 2011).

The Delicacy of Pre-Mandate Syria

To understand the extent of the impact of the French Mandate upon Syria's identity more fully, it is necessary to establish the prior societal context. Greater Syria was subject to many intercommunal clashes, Atiyah (1946: 1) states:

If ever there was a country in which every conceivable influence divine and mundane, physical and moral, inherent and extraneous, militated against national unity and the formation of patriotic sentiment, that country was Syria before 1914.

Interestingly, Greater Syria contained a divided society with little emotive connections to the territory. This is reiterated by Thompson (1861: 247-8), who noted the ethno-religious hatreds and the absence of a "common bond of union" and is summarised by Beshara (2011: 4) as a "battle of national struggle".

Numerous events exemplify the delicacy of pre-Mandate Greater Syria. For example, in 1860, Muslims and Druzes killed thousands of Christians and destroyed their living quarters in Damascus, following attacks made on Christians throughout Greater Syria: in particular, Aleppo in 1850 and Nablus in 1856, in addition to many bloodless tensions across other towns (Rogan, 2004; Chesterman, 2002; Fawaz, 2014). These conflicts have been attributed to a multitude of factors including a fear amongst Muslim groups of conscription, anger concerning taxation and resentment towards the Christian groups for their newfound power and economic influence through their European connections (Fawaz, 2014; Khoury, 1987). Tensions and discontent certainly featured within Greater Syria.

The attacks on Christians attracted an initial wave of French colonial interest; France performed a *mission civilisatrice*⁶ to protect the persecuted Maronite Christians. Their occupation was extended from a six-month mission in 1860 to one that lasted until June 1861 (Chesterman, 2002). Aside from protection of the Christians, French motivations included various cultural and religious reasons and interests in protecting the French connection that bridged the European economy with that of Greater Syria (Khoury, 1987; Kennedy, 2008; Milton- Edwards, 2016). This intervention formed a large basis of France's justification of its claim to Greater Syria and preceded France's 'divide

⁶*'Mission civilisatrice'* translates as 'civil mission' and was part of the "French cultural policy" in the late twentieth century (Burrows, 1986: 109)

and rule' policies that favoured Maronite Christians, ring-fencing them within a separated state of Lebanon (Gelvin, 2005). Thus, it can be deduced that firstly, intercommunal divisions predated the Mandate, and secondly, the French precursory venture into Greater Syria in 1860, established certain predispositions concerning societal strategy, favouring the Maronite Christians.

Another example of the delicacy of late-Ottoman Greater Syria is the execution of Arab nationalists in 1916. On the 6th May, fourteen martyrs were hanged in Beirut and seven in Damascus; these were nationalists who had sought support from the French Consul-General in Beirut, Georges-Picot, to achieve independence from the Ottomans (Farha, 2015; Fawaz, 2014). Incriminating correspondence between the nationalists and Georges-Picot was discovered by Cemal Pasha, attributable to forewarning by the former translator for Georges-Picot, Philip Zalzal (Fawaz 2014; Farha, 2015). This day is remembered each year in former regions of Greater Syria as Martyrs' Day and is referred to by the Ba'th Arab Socialist Party (BASP) as the starting point of the "Greater Arab Revolution" (The Telegraph, 2014; The Daily Star, 2017; Volk, 2010; SANA, 2017a; The Baath Arab Socialist Party, 2015). The annual remembrance of this event and its significance as the initial catalyst of Arabism within Greater Syria is accompanied by the recollection of France's failure to protect the martyrs. The BASP suggests that Arabism originated as a fully indigenous anti-colonial movement before the French assumed administration of Greater Syria and before the defeat of the Ottomans in the First World War.

Shortly after the Arab nationalists' martyrdom, Georges-Picot, with the help of Sir Sykes, sequentially determined the borders of the MENA in the Sykes-Picot Agreement (The Avalon Project, 2008). According to Al Jazeera (2016), this agreement is resented across the MENA to this day, since the MENA "continues to bear the consequences of the treaty". Perhaps then, the annual celebration of Martyrs' Day reminds Syrians of the failure of Georges-Picot to protect the Arab nationalists in addition to his other famously damaging imprint in the MENA. Since this is a national holiday, it has become a norm and is very much a part of Syrian culture and thus of the Syrian identity. This suggests that part of what defines Syria in terms of culture, and hence its identity, consists of a recollection of French failures and imperialism and the need to express anti-French sentiment.

Strategies of 'Divide and Rule'

France decided to sub-divide its mandated region into autonomous units to the detriment of Syrian unity and identity. Although the French Mandate existed to "facilitate the progressive development of Syria" (The League of Nations, 1923:177) for its forthcoming independence, Syria was constructed, not based on altruistic efforts, but on self-interested strategies (Gelvin, 2005; Fildis, 2011). It is recognised by scholars that 'divide and rule' strategies were implemented to stifle the progress of Arab nationalism and the formation of a unified national identity (Fildis, 2011; Kaplan, 1993; Zamir, 2000; Roshwald, 2001; Brockett, 2007). Explicitly, the French severed strategic regions to isolate certain ethno-religious groups. Aleppo and

Damascus were created as two separate units. In 1922, the Jabal al-Druze, inhabited by the predominantly Druze minority, with the region behind Latakia, where a large population of the Alawite minority group resided, were formed into separate administrative units with separate governors and elected congresses (Khoury, 1987; Fildis, 2011; France Diplomatie, 2015). Further, whilst Aleppo, Damascus, Hama and Homs were placed within one administration in 1925, the Alawite and Druze areas were formally separated from the rest of Syria until 1942, aside from a period between 1936 and 1939 (Fildis, 2011; Kaplan, 1993). The formal segregation of the Alawite and Druze populations from the rest of Syria deepened the dividing lines between ethno-religious groups, which enabled the French to achieve their goal of preventing the progression of Arab nationalism and national unity. As Fildis (2011) explains, Arab nationalism was unable to become a nationwide movement owing to the wide dispersal of Syrian minority groups, which rendered political unity and ultimately, the formation of a Syrian national identity, nearly impossible.

The formal divisions were accompanied by further strategies to ensure intercommunal fractures. Firstly, the Sunni Syrian population were subject to higher taxes and unable to access the larger development subsidies that the Alawite, Druze and other minority groups enjoyed (Ma'oz, 2014; Kaplan, 1993). Secondly, France encouraged the recruitment of Alawites, Druzes, Kurds and Circassians into their *Troupes Spéciales du Levant* [Special Troops of the Levant, tasked with maintaining order] (Tucker, 2016; Kaplan,

1993; Dam, 2011). These troops were used, for example, against Muslim rebels and the Christian population during the 1925 revolt (Ma'oz, 2014; Kaplan, 1993).

Two particular implications associated with France's strategic approach adversely impacted on Syria's future prospects for national unity. Firstly, the policies created resentment among Syrians, especially Sunnis who were subject to higher taxes and not only under colonial domination, but also patrolled by the residing minorities. This is reiterated by Kerr (2015: 10), who notes that Alawites were "despised for their disloyalty" to Greater Syria and Arab Nationalism. The French divisive strategies contributed to Syrian societal dislocation, and France achieved its goal of preventing the progression of Arab nationalism and political unity in Syria. Thus, rather than "facilitating progressive development" as the League of Nations (1923: 177) prescribed, the French accepted the consequence of exacerbated societal fractures in order to suppress Arab nationalism and inhibit Syrian unity, ultimately, to maintain control of the region. Consequently, following the French decampment in 1946, Syria was subject to deep political and societal instability, up until the last military coup that brought in Hafez al-Assad, due to the competing sub-identities and nationalisms that could not achieve nationwide backing (Jebb, 2004; Moubayed, 2006; Gelvin, 2005). Explicitly, the French enhancement of Syrian societal dislocation prevented any trace of unity, and ultimately, no single political or social movement could be embraced by the nation since internal Syrian divisions had been institutionalised for nearly a quarter of a century.

The second implication refers to the specific ethno-religious appointments within the *Troupes Spéciales du Levant*, this had lasting implications for Syrian politics, for it engendered the rise of the BASP to power. The policy engendered more Alawites to pursue a military career, which created an overrepresentation of the Alawites within the military, which ultimately, spilled over into politics (Jorum, 2014) and became the means by which political power was attained. Following the French decampment, Syria witnessed numerous military coups, thus shaping the way in which power was attained in independent Syria. Following the 1963 coup, the BASP held an increasing monopoly of power and after 1966, the military elements within the party rose (Charlcraft, 2016). To conclude, a legacy of the French Mandate continues to linger as a consequence of France's self-motivated, divisive strategies, which sequentially, paved the way for the BASP and the Assad dynasty. The primary observation here, has been encapsulated aptly by McHugo(2014: 28) who writes that the chaos of parliamentary life in Syria under the Mandate and post-independence "is part of the story of descent into dictatorship". The significance of this lies in the humanitarian reality of Syria's recent history: namely, the human rights abuses committed by both Hafez and Bashar al-Assad for nearly half a century (Human Rights Watch, 1996; 2018; Macleod & Flamand, 2011; Black, 2010). The French Mandate inflamed societal dislocation and ultimately, left Syria in a state in which it was unable to attain real stability.

Conclusion

Thus, it can be concluded that the implications of French self-interested, divisive policies on a society previously susceptible to intercommunal divisions were detrimental. It has been shown that the little societal unity during the Ottoman rule appears to have been worsened through French divisive strategies. Indeed, the Mandate hindered the progression of Arab nationalism and prohibited national unity. The long-term implication of the French military recruitment policies with respect to the proportional growth of the Alawites within the armed forces that sequentially, brought the BASP to power, can be understood. The sectarian nature of the French Mandate precedes Hafez al-Assad's enforced identity stability.

In subsequent articles the authors explore the influence of Hafez-al-Assad and the present ruler Bashar al-Assad's in the development of Syria, the rise of Syranism and the place of Islamism in Syrian history.

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A Developer's Guide to Enhance Software Security

Mahin Talukder

Abstract

To enhance software security a number of approaches have been introduced by computer security researchers. Code Obfuscation is one of the approaches widely used by developers to protect software code. Code Obfuscation increases the complexity of the code which makes the code harder to understand and cannot be processed without interpretation. Program slicing works by finding the parts of a program relevant to the value of a chosen set of variables at some chosen point in a program. A slice is constructed by deleting the parts of the program that are irrelevant to those values. Code obfuscation and program slicing are two different areas of research. Code obfuscation and program slicing provide different techniques for software engineering. These engineering approaches are welcomed in various business organization to protect intellectual property embedded in software algorithms. In this paper the author discusses the current state of art in the areas of program obfuscation and program slicing. In addition, a number of approaches are discussed in respect of software security that should be considered. It is argued that program slicing in obfuscated code would provide a better understanding and approach to software security in commercial business.

Keywords: *computer security, code obfuscation, computer programming, program slicing, software developments, software security*

Introduction

We are living in a technological era. As the technologies evolve, requirements from the users also increase. There are thousands of software programmes published commercially and non- commercially to maintain business standards, as well as making life easier for day-to-day living. Today, it is quite impossible to run a business without technologies and information. Software is used to create, modify and store information and to access that information when needed. Leakages of information and unauthorised access could result in business failure, as well as creating bad publicity for the organization. On the other hand, business growth leads to new developments within systems that requires additional man power for the business. Software developers and researchers have considered the consequences associated with inadequate security provision, and, on the basis of findings, various branches in the IT security industry have been developed: for example, software security, software reuse, software re-engineering and software reverse engineering. As a consequence of rising demand, universities, governments and business customers are developing human expertise within these areas.

Software security is an idea implemented to protect software against malicious attack and other hacker risks, so that the software continues to function correctly under such potential risks. Security is necessary to provide integrity, authentication and availability. The common adversary is an untrusted entry that attacks the system from outside. Security systems can be compromised in many ways. A successful attack can take control over the system, attack or modify software in way that the software vendor does not intend, or breach confidentiality rights by extracting intellectual property from the software, such as algorithms, designs, or implementations and making illegal copies of the software. There are number of approaches to prevent attack: e.g., Obfuscation, Tamper Proofing and Watermarking.

On the other hand, in most engineering disciplines, systems are designed by using existing components that have been used in other systems. Software engineering has been more focused on original development, but it is now recognised that to achieve better software, more quickly and at lower cost, it is necessary to adopt a design process that is based on systematic software, given the fact that size and complexity of program has become harder to maintain and test. Program slicing, introduced by Mark Weiser, is currently seen as a rapid development on software re-use and debugging. With the use of program slicing we can determine which pieces of code are responsible for a specific change or flow in the program statement and limit program functionality to what is needed.

Aim and objectives

Determining the aim and setting objectives in a project is crucial for success and provides the structure required to complete the project. The aim and objectives of this project are as follows:

The aim of this project is to determine the security strength of an obfuscated code using program slicing.

The main objective of this research is to identify an appropriate set of obfuscators based on program functionality that can be used to create software which is difficult to reverse engineer.

To achieve this objective, the following research questions will be addressed.

1. What is the current state of art in code obfuscation?
2. How to determine which obfuscation is better and why?
3. How effective is program slicing in de-obfuscating codes?
4. How to improve obfuscation to improve software security?

Literature

Obfuscation in computer engineering is a term used to protect the reverse engineering process. An obfuscated program preserves the same functionality of the original program and uses minimum overhead. Obfuscated codes are harder to analyse or comprehend, because

they create multiple versions of the same program. The goal of software protection through code obfuscation is to transform the source code of an application to the point that it becomes “harder to understand” — which can mean it becomes unintelligible to automate program comprehension tools and the results of program analyses become less useful to a human adversary (Davis, 1998). Despite various definitions of obfuscation, there are number of classifications that determine the properties of obfuscated codes. Lexical Transformation, Control flow transformation, Data transformation, Anti- disassembly, anti-debugging and encryption are the types of classification of obfuscation that are mostly used. These transformations are adopted according to the requirements of software protection.

Layout Obfuscation

The three main categories identified by Collberg, namely, layout, control-flow and data obfuscation give a brief overview of some of the obfuscation techniques that have developed and are applicable to a wide variety of programming languages. (Collberg, Thomborson and Low, 1997) For example, layout obfuscation is responsible for the look of

a program rather than semantics changes. Applying layout obfuscation code commands can lead to bogus commands that have no meaning to others. Another layout obfuscation can change one formatting of a code to a different one. These can also include whitespaces and program indentation (*The International Obfuscated C Code Contest*, 1997). Popular obfuscation, for example, changes the name of variables, classes and methods to a different naming and making it complicated to reverser engineer. In general, layout obfuscations attempt to change the syntax of the program rather than the semantics of the program.

Control-flow Obfuscation

Control-flow obfuscation is responsible for semantic transformation. The set of semantic transformations are targeted at the control-flow; so these transformations try to change conditional statements, jumps and loops. Control-flow in a program can be changed by adding bogus conditional jumps or changing loops, etcetera. According to Majumdar et al (*The International Obfuscated C Code Contest*, 1997) two techniques highlighted are Opaque Predicates and Control-Flow flattening.

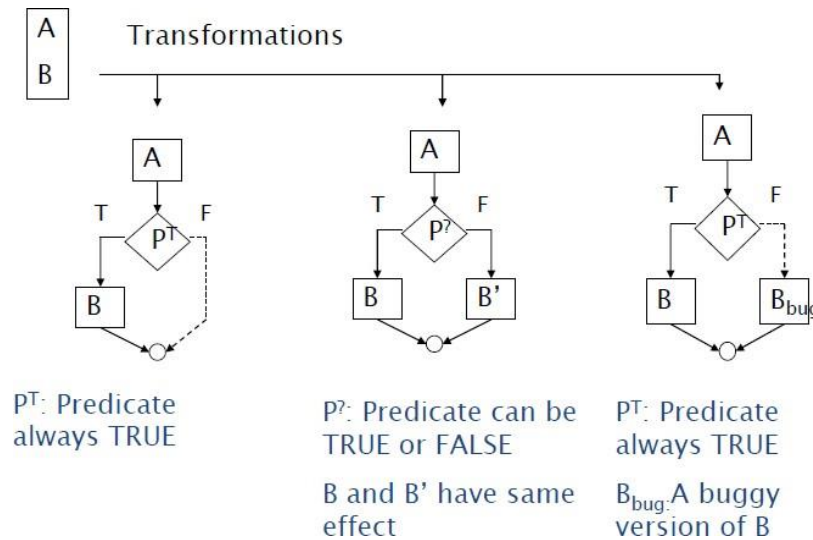


Figure 1 Control-flow Obfuscation (The International Obfuscated C Code Contest, 1997)

An opaque predicate is an obfuscated condition that, followed with a conditional operation, will make the analysis harder and in some cases impossible until the code is executed and that specific condition is evaluated. Opaque predicates set the condition either true or false for a variety of reasons until the outcome of the program is evaluated. The control flow flattening obfuscation completely obscures the links between basic blocks. Wang describes the process of chenxification, which puts the basic blocks of a program into a large switch-statement (called a dispatcher) that decides where to jump next, based on an opaque variable (Wang, Gross and Taylor, 2001).

Control flow flattening using a central dispatcher has also been described by Chow and similarly by Linn and Udupal. (Chow *et al.*, 2001); Udupa, Debray and Madou, 2005) The procedure uses a so-called branch function to obfuscate the targets of CALL instructions. All calls are forced to pass through the branch function, which directs the control flow to the actual target based on a call table. Wang has described a technique for flattening control-flow. The idea of flattening control-flow transformation is to remove control-flow constructs, that is to say loops, so that all basic blocks have the same predecessor and successor in the control-flow graph. (Wang, Gross and Taylor, 2001)

<pre> init; while (cond) { loop_body; } </pre>		<pre> var = 1; switch (var) { case 1 : init; var = 2; break; case 2 : if (cond) var = 3; else var = 4; break; case 3 : loop_body; var = 2; break; case 4 : var = 1; end; } </pre>
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Figure 2 flattening control-flow transformation (Wang, Gross and Taylor, 2001)

Figure 2 flattening control-flow transformation is an example of flattening control-flow transformation where a simple while loop is converted into a switch statement and variable var acts as a dispatcher and effectively controls the execution of the block of codes.

Data obfuscation

Data obfuscation in code obfuscation technique is adopted to modify data in a form where stored data in a program can be hidden from direct analysis. Data obfuscation also requires the program code to be modified, so that original data representation can be recognized during the runtime of a program or in execution time. Collberg and Nagra describe many data obfuscation techniques (Collberg and Nagra, 2010). Data obfuscation converts a variable or constant into multiple

computational results of one or several variables and constants. As a result, it makes it harder for an analyst to identify variables and constants. Two separate functions create a mapping between actual variables and the split representation. One of the functions is executed in obfuscation time and another one is reconstructed with the original value of the obfuscated variables and constants.

String splitting and keyword substitution are the data obfuscations that are mostly applied to string objects. String splitting converts a single string into multiple substrings and assigns a random variable for those substrings. Keyword substitution is normally used to assign a specific variable to a different variable name (Schrittwieser *et al.*, 2015).

<pre>document.write("Hello world");</pre> (a) <pre>var mystring=document; mystring.write ("Hello world");</pre> (c)	<pre>var xs = "ite("; var lw = "lo w"; var ao = "doc"; var tc = "nt.wr"; var zg = "orl"; var mv = "\"Hel"; var m = "d\""; var dg = "ume"; eval(ao + dg + tc+ xs + mv + lw + zg + m);</pre> (b)
---	--

Figure 3 Data Obfuscation (Schrittwieser et al., 2015)

Figure 3 (a) represents a standard string. The string represented as (b) when string splitting obfuscation is applied and thirdly (c) is obtained from (a) when keyword substitution obfuscation is applied. Along with these data a vast area of obfuscation exists in specifying data, variable encoding, array transformation and exception handling.

There are number of obfuscators introduced by researchers that are used for commercial and non-commercial purposes. The obfuscation takes place either in binary-to- binary, source-to-binary or source-to-source arrangements. As the project's main aim is to determine the most effective and complex code generated by various obfuscators, source-to-source code arrangements are discussed. Companies like Semantic Designs which provides automated tools for software engineering supports obfuscation for number of programming languages. Many conventional

obfuscation tools use ad hoc string processing methods to carry out the obfuscation process. String processing can sometimes work, but it often fails when there are multiple statements per line or nested comments are encountered. This is because programming languages have complex formation and name resolution rules; therefore, processing them reliably usually requires a complete language transformations. Failure to process the program correctly could produce a weakened version of obfuscation.

Semantic Designs

Semantic Designs sort the source language lexical and syntax rules into compiler-like data structures, carries out the obfuscation, and then unparses back to source text. This approach ensures that the syntax structures found match those of the language. Thus, Semantic Designs use built-in extensions for

language that are dependent on source code transformation.

Semantic Designs obfuscators are presently available on Windows 2003, XP, or later operating systems and available obfuscators are Ada, ECMAScript (JavaScript), including script embedded in HTML, XML, ASP or PHP __, C in many dialects, C++ in many dialects, C# v5 and v6, Java v7 and v8, PHP version 5 __, PLSQL, SystemC, SystemVerilog, Visual Basic 6 (Beta), VBScript, including Active Server Pages (Beta), Verilog 2012, VHDL 2002 and 2008 (*Semantic Designs: Source Code Obfuscators*, 2018)

Irdeto

Irdeto is a technological company that provides support for software developments, software engineering and software security. Their services include security on banking systems, cloud store security and automobile security. Irdeto Cloakware for Automobiles, for example, is a multi-layered, multi-faceted product that resolves issues relating to obfuscation, integrity verification, anti- debugging, white-box cryptography, diversification and renewability. It offers a full suite of patented technologies and cybercrime services that not only protects the vehicle environment, but also protects itself from being reverse engineered and modified by hackers(*Semantic Designs: Source Code Obfuscators*, 2018).

Stunnix

Stunnix provides solutions for source code obfuscation for commercial uses. Stunnix uses C/C++ Obfuscator, Perl-Obfus, JavaScript Obfuscator, and VBScript Obfuscator as tools to make source

codes unreadable and prevent illegal reuse, IP theft and tampering f source codes (*Semantic Designs: Source Code Obfuscators*, 2018).

Tigress

Tigress is a diversifying virtualiser/obfuscator for the C language that supports many novel defences against both static and dynamic reverse engineering and de-virtualisation attacks. In particular, Tigress protects against static de-virtualisation by generating virtual instruction sets of arbitrary complexity and diversity, by producing interpreters with multiple types of instruction dispatches and by inserting codes for anti-alias analysis. Tigress protects against dynamic de-virtualisation by merging the real code with bogus functions, by inserting implicit flow, and by creating slowly- executing re-entrant interpreters. It implements its own version of code packing through the use of runtime code generation. Finally, Tigress' dynamic transformation provides a generalised form of continuous runtime code modification (Tigress, 2017). Tigress source code-to-source code transformation builds on CIL (C Intermediate Language) and MyJIT which is a small library that allows compilation and execution of intermediate codes into machine code. CIF is a high-level representation which, along with JIT, permits easy analysis and source code –to- source

Code transformation. Tigress supports all of the c99 language, including gcc extensions and source-to-source transformations that facilitate the examination of transformed codes.

Tigress takes C files, seeds as per user provided, and several transformations at the same time. Multiple C files are combined into one C file, and transformations are accommodated within the function of C file. There are three major transformations supported by Tigress. They are –

- Virtualization that transforms a function into an interpreter.
- Jitting that transforms a function into one that generates its machine code at runtime.
- JitDynamic that transforms a function into one that continuously modifies its machine code at runtime.

In addition to these three major transformations, Tigress has Control Flow Flattening, Function Splitting, Merging, Argument Randomization, Control Flow Splitting with Opaque Predicates, encoding of Literals, Data, and Arithmetic Transformation (*Tigress Transformations*, 2017).

Tigress was originally designed as a remote device for testing the veracity of backend systems. Now Tigress is an open-source software that is consistently in use in respect of finding the strength of obfuscated code, measuring software obfuscation reliance against automated attacks and testing code analysis for cytometric algorithms.

Program Slicing

Program Slicing is a decomposition technique that extracts parts of a programme by applying special computations. The first and most commonly accepted definition was provided by Mark Weiser in 1979. According to Weise, A slice S of a program P on a slicing criterion $C = (i, V)$ is any executable program with following two properties.

1. S can be obtained from P by deleting zero or more statements from P .
2. Whenever P halts on input I from I with state trajectory T' , then S also halts on input I with state trajectory T , and $PROJ_c(T) = PROJ_c(T')$, where $PROJ_c$ is the projection function associated with criterion C . He claimed a slice to be the mental abstraction that people make when they are debugging a program. A slice consists of all the statements of a program that may affect the values of some variables in a set 'V' at some point of interest 'p'. The pair (p, V) is referred to as a slicing criterion (Katti and Terdal, 2010).

Variants of program slicing:

A slice of a program is computed either by using static information known as a static slice or by using dynamic information known as dynamic slice. Static slicing seeks to find the executable subset of a program's statement that exhibits the same behaviour of a specified variable at a specific location as the original

program for all possible inputs. In contrast, dynamic slicing preserves the behaviour of slicing criterion only with respect to specific input (Katti and Terdal, 2010). Conditioned slicing is a technique to identify statements and predicates which contribute to the computation of a selected set of variables when some chosen condition is satisfied (Katti and Terdal, 2010). The technique has previously been used in program comprehension and re-engineering (Katti and Terdal, 2010). Observation-based slicing has been recently introduced by researchers as an alternative to dependent-based program slicing which has been derived from dynamic slicing. Observation-based slicing uses a delete-execute-observe approach wherein the observer can determine if the trajectory of the slicing criterion has been changed. (Binkley, et al., 2014).

Program Analysis

Programme analysis is the process of automatically analysing the behaviour of a program. Program analysis offers techniques to predict the codes of a programme and observes behaviour dynamically during the run-time. Researchers have proposed different frameworks to describe data flow analysis within a program.

Control flow analysis

The aim of control flow analysis is to discover the hierarchical flow of control within a programme. Some special statements of a programme are known as control flow statements. They are used conditionally to execute specific statements. For example, 'if' statements are used to execute specific statements, and 'while' statements are used to execute one or more statements and the other changes interrupting normal sequential flow through structured jumps like 'return, break and continue'. The process is illustrated in Figure 4, overleaf.

```

1  read(n);
2  i := 1;
3  sum := 0;
4  product := 1;
5  while (i <= n) {
6      sum := sum + i;
7      product := product * i;
8      i := i + 1;
9  }
9  print(sum);
10 print(product);

```

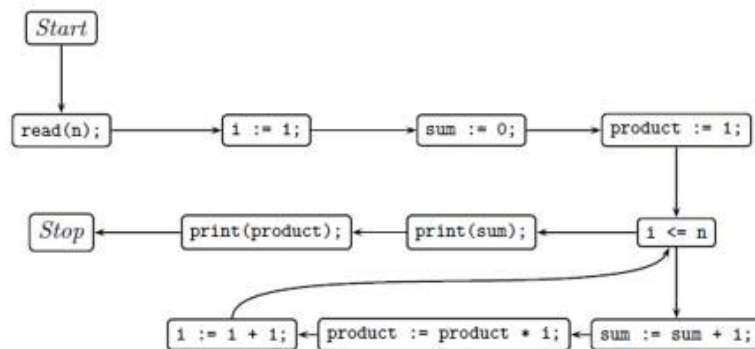


Figure 4 Control flow graph (Kim and Joao, 2006)

The most common representation of control flow analysis of a program is a control flow graph. Nodes of a control flow graph represent statements, and the control flow makes

Data flow analysis:

Data flow analysis provides global information on data manipulation within a program. Dataflow analysis is usually performed on the program's control-flow graph (CFG). The goal is to associate with each program component (each node of the CFG) information that is guaranteed to hold at that point on all executions. Thus, a dataflow problem includes

- A CFG,
- A domain D of "dataflow facts",

predictions. Thus, program control flow is examined to measure the number of independent paths in the source code.

- A dataflow fact "init" (the information true at the start of the program for forward problems, or at the end of the program for backward problems),
- An operator $[]$ (used to combine incoming information from multiple predecessors),
- For each CFG node n , a dataflow function $f_n : D \rightarrow D$ (that defines the effect of the execution (Späth, Ali and Bodden, 2017)).

There are two types of data flow problem constant propagation: (1) forward problems

and (2) live-variable analysis known as backward problems. In constant propagation information at a node n summarises what can happen on paths from "enter" to n . On the other hand, in live-variable analysis information at a node " n " summarizes what can happen on paths from " n " to "exit". This aims to propagate any constant assigned to a variable through the flow graph and to substitute it as the use of a related variable for optimisation purposes. A value of a variable is considered active or inactive based on the uses of that variable in the near future.

ORBS as Slicing algorithms

Observation Based Slicing was introduced by (Binkley *et al.*, 2014) with a view to slicing heterogeneous programs consisting of components written in different programming languages and performance slicing that includes binary components or libraries. Although ORBS has been derived from dynamic slicing, some critical differences exist. Observation-based slices are based on observed dependencies rather than statically determined. Observation-based slices actually delete statements in a file of interest and execute the program to observe if the

projected trajectory has changed. For the slices taken with respect to a given slicing criterion, ORBS must capture the trajectory for the slicing criterion, delete statements from the components of interest and may leave intact other components, including binary components and other source files.

From the definition of ORBS, it is stated that "An observation-based slice S of a program P on a slicing criterion $C = (v; l; I)$ composed of variable, line l , and set of inputs I , is any executable program with the following properties:

1. The execution of P for every input I in I halts and produces a sequence of values $V(P; I; v; I)$ for variable v at line l .
2. S can be obtained from P by deleting zero or more statements from P .
3. The execution of S for every input I in I halts and produces a sequence of values $V(S; I; v; I)$ for variable v at line l .
4. $\forall I \in IV(P; I; v; I) = V(S; I; v; I).$ "

The algorithm is illustrated in figure 5, overleaf.

Algorithm 1: ORBS

ORBSlice($P, v, l, \bar{I}, \delta$)

Input: Source program, $P = \{p_1, \dots, p_n\}$, slicing criterion, $(v, l, \bar{I})$, and maximum deletion window size, δ

Output: A slice, S , of P for $(v, l, \bar{I})$

- (1) $O \leftarrow \text{SETUP}(P, v, l)$
- (2) $V \leftarrow \text{EXECUTE}(\text{BUILD}(O), \bar{I})$
- (3) $S \leftarrow \text{REVERSE}(O)$
- (4) **repeat**
- (5) $deleted \leftarrow \text{False}$
- (6) $i \leftarrow 1$
- (7) **while** $i \leq \text{length}(S)$
- (8) $builds \leftarrow \text{False}$
- (9) **for** $j = 1$ to δ
- (10) $S' \leftarrow S - \{s_i, \dots, s_{\min(\text{length}(S), i+j-1)}\}$
- (11) $B' \leftarrow \text{BUILD}(\text{REVERSE}(S'))$
- (12) **if** B' built successfully
- (13) $builds \leftarrow \text{True}$
- (14) **break**
- (15) **if** $builds$
- (16) $V' \leftarrow \text{EXECUTE}(B', \bar{I})$
- (17) **if** $V = V'$
- (18) $S \leftarrow S'$
- (19) $deleted \leftarrow \text{True}$
- (20) **else**
- (21) $i \leftarrow i + 1$
- (22) **until** $\neg deleted$
- (23) **return** $\text{REVERSE}(S)$

Figure 5 ORBS Algorithms (Binkley et al., 2014)

ORBS works by iteratively deleting sequences of lines until no more lines can be deleted. In each iteration, ORBS deletes from the source code and validates the deletion by compiling, executing and comparing the trajectory with the original program trajectory. If the original program trajectory is the same as the deleted program trajectory then the deletion is accepted. If the program trajectory does not match, then the deletion is discarded.

Methodology

Software engineering and software development process are continuously engaged in the process of designing, developing, testing and debugging. Development processes change according to user requirements. With the changes of time, new software security options are adopted. Although future developments cannot be predicted in advance, it is wise to take up-to-date security measures before implementing software. In today's world, many methods,

tools, equipment and approaches are available for software development, testing, debugging and security. Davida considered the following activities associated with software development to be particularly important.

- Critically analyse the current system
- Analyse different modelling techniques
- Specify system requirements including stability, scalability and security
- Design the system
- Implement and test the system

(Davida *et al.*, 2001)

The researcher intends to use number of approaches to complete the project. Primary research will focus upon identifying the nature of obfuscations that are used within software development and engineering. This includes small, medium and large business organisations, independent of programming language vendors. Primary research will also be conducted on the types of obfuscation that are commonly used in software development for security purposes. Obfuscated source code can be found on various online source code repository sites. The weight of obfuscation will be determined either by adopting techniques provided by program obfuscators or by obfuscating source codes of the author's choice from open source programming. Tigress is a C program obfuscator that provides techniques for obfuscation as well as performing obfuscation functions for non-commercial usages. Various program matrices can be used to determine how complex the program needs to be to reverse engineer. In addition, primary research will be conducted by inserting slicing criteria into the program to determine optimal

solutions and find the effectiveness of software reuse. To achieve the goal in program slicing, existing algorithms and approaches, evolutionary algorithms such as. genetic programming will provide the foundations of secondary research for this project.

Several software development approaches have been provided by computer science researchers. Hard and soft approaches, a unified approach, object-oriented development, a waterfall approach, the spiral model are most common development approaches in software engineering. Each of these development processes is suitable for particular types of problems (Lyu and Kanoun, 1996). For this project, an iterative and incremental development approach provides a basic structure about software development. After adding every component to the system, requirements are revised from the beginning. Knowledge and experience gathered in each cycle is carried out to the next level of iteration. Program obfuscation and program slicing will be evaluated in every iteration of the research cycle.

Conclusion

Program obfuscation is a good technique for implementing security measures in software applications. Obfuscated codes within a program make them harder to understand by humans. With the development of software, security hackers have started to break these codes for their benefits. Hackers have invented various strategies to analyse obfuscated codes and to identify program functionalities.

Applying a number of obfuscation codes would make programs harder to analyse. Program slicing would determine which piece of code is responsible for a specific functionality. A prime objective is to identify how effective program slicing is to obfuscated codes.

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Emotional intelligence and its impact on negotiation and mediation in the workplace.

Arif A. Sunny

Abstract

This paper aims to define emotional intelligence and identify its impact on negotiation or mediation in the workplace. It also highlights major patterns of conflict at the workplace that may produce emotional triggers resulting in loss of self-confidence and potential mental imbalance. Based on the positive impact of emotional intelligence, the author proposes techniques to unfold emotional intelligence and maximise its use as a negotiating tool.

Keywords: Workplace, Team Member, Emotional Intelligence, Workplace Conflict, Team Member Conflict, Intelligence in Negotiation, Mediation.

Introduction

The popularity of teamwork is increasing in organisations to improve the quality of work, efficiency, effectiveness and to ensure sustainability (Alper, Tjosvold, & Law, 2000; DeDreu & Weingart, 2003). According to Ayoko et al (2002), little attention is being paid to the factors that determine the choice of dispute methods advocated by resolution workgroups. The literature reviewed also suggests that little attention has been paid by well-being management to address conflicts and resolve them in ways that serve the interests of all parties.

In this paper the author addresses the gap that exists between the categories of conflicts identified and the appropriate methods of resolution successfully applied. Focus is placed upon identifying patterns of conflict in the workplace and analysing the different emotional reactions currently associated with those conflicts. Assessments are made about the importance of considering emotions in all negotiation and mediation processes. Thereafter, recommendations are put forward for addressing emotional intelligence and maximising its positive impact on negotiation and mediation efforts.

In the past, the conventional way of dealing with negotiation was to “separate people from the problem” (Fisher & Ury, 1983). This approach has an inherent shortcoming: namely, people are essential to an organisation’s well-being and long-term sustainability. In this paper it is argued that optimal improvements can be brought about by an effective negotiator or mediator considering the emotional tenor of every party involved in the conflict.

Patterns of conflict in the workplace

Several studies including Blake & Mouton (1964), Pruitt & Rubin (1986) and Rahim (1983) show that workplace conflict between team members emanate from two major concerns (1) self-concern and (2) concern for others. According to these two concerns can vary depending on the particular conflict situation. In the study of Rahim (1983), depending on the balance of those two concerns, the conflict pattern at the workplace can have a number of patterns as follows

(1) Dominating, where an individual is highly concerned about himself with low concern for others, (2) Obliging, where an individual is less concerned about himself but highly concerned about others, (3) Avoiding, where an individual is avoiding the situation because he has less concern for both himself and others, (4) Integrating, where an individual is highly concerned for himself and other parties, and (5) Compromising, where an individual is moderately concerned about himself and other parties involved in the situation (Rahim, 1983)

The research qualitative study of Ayoko *et al.* (2002), found that team members at workplaces often follow a submissive approach when dealing with conflict. His study showed that 75% of responses by team members were avoidant. Similarly, other studies by Bartunek (1992) and Roloff (2000) showed that low level team members or team members from the minority in a workplace

tend to refrain from direct confrontation when dealing with issues.

Emotional reactions of workplace team members for different types of conflict

All types of conflict trigger emotions, including anger, hate, frustration, tension and stress. Because of that an unpleasant mental condition creates a barrier to having a positive emotional atmosphere. According to DeDreu and Weingart (2003), conflict derived from relationships or tasks set depends on the level of dissatisfaction and when the expectation has not been met. Moreover, it has been found from the modern study that "relationship conflict" has a stronger impact than "workplace conflict". Nonetheless, relationship conflict can drive an individual to have negative feelings at the workplace. Conversely, task-oriented conflicts that occur frequently in the workplace will also create an unpleasant emotional atmosphere for other team members.

Impact of emotions in negotiation and mediation processes in the workplace

Emotion is a reflection of the conscious mental reaction: for example, fear, anger or hatred. These can be strong and are often directed towards specific objects or persons and accompanied by psychological changes. According to Fisher and Ury (1983), emotion is defined as an experience that can be felt. Therefore, someone feels the emotion, not just thinks about it. When someone says or does

something that matters to others, people usually react with accompanying physiological changes and the desire to do something.

According to research (Schreier, 2002), unaddressed emotional issues can have a substantial impact on ineffective mediation. It is also proposed that experienced mediators do not have enough training or understanding on how to address the emotional reactions of other parties. Fisher and Shapiro (2005) maintain that emotion plays a substantial role in the processes of negotiation and mediation, whether it is negative or positive. According to Shapiro (2009) the impact of negative emotions are:

- (1) diverting attention from significantly important matter in negotiation, (2) emotions can lead the person to be manipulated by other parties, (3) it can contravene thinking and (4) emotions can take control over the mind (Shapiro, 2009).

According to research, negative emotions can develop from the imbalance of self-concern and concern for others (Blake & Mouton, 1964; Pruitt & Rubin, 1986; Rahim, 1983). When an individual at the workplace is more self-concerned or more concerned for others in an unbalanced manner, he or she will end up with negative emotions in negotiations.

Similarly, Shapiro (2009), posits the positive impacts of emotions are: (1) the expression of emotion provides an opportunity for the other party to understand the needs and interests of the first party, and (2) the expression of emotions gives the other party the understanding of the person, her/his position

and how that party wants to be treated. According to the author, when a person can achieve a balance between self-concern and concern for the other party, that individual can create a positive environment for all parties and engender positive emotions in a conflict negotiation.

Two hundred undergraduate business students participated in the study by Goleman (2005), in which the participants were assessed by a simulated one-to-one negotiation for a job contract. The study shows that Emotional Intelligence has a positive relationship in facilitating a better rapport that, in turn, can maintain the trust and willingness to work with motivation and gain.

It is inevitable to avoid emotion, as it is always present and potentially difficult to handle in a conflict situation. Emotional expression provides opportunities for all parties involved in negotiation to reveal their opinions and to clarify the problems delaying resolution. Without emotion, any negotiation or mediation is a dry transaction that is unlikely to culminate in resolution. Consequently, to enjoy the negotiation, it is important that there are emotions present. In addition, it is also important that the emotions of all parties involved can be understood without misinterpretation.

Emotional Intelligence

What is emotional intelligence? According to Bowling and Hoffman (2000), it is "...the capacity for recognising our own feelings and those of others, for motivating ourselves, and for managing emotions well in ourselves and in our relationships." On the contrary, Bradberry and Greaves (2009) explained, "emotional

intelligence is a combination of competencies and skills that are mainly found in the leadership”.

Elements required in Emotional intelligence

Bradberry and Greaves (2009) outlined four elements required for constructing emotional intelligence.

(1) Self-awareness is an ability that gives an individual the capability to understand one's own emotion while making important decisions. Self-awareness gives an individual the capability to recognise situations that will trigger one's negative emotions, as discussed above by Shapiro (2009). It is easier to understand one's own emotions than others; yet it is not an easy achievement. By coming to terms with one's own emotions, individuals should be able to remain constructive even when negative emotions are triggered. Of course, there is always the possibility that self-awareness will lead the individual to project his own emotions over others in a workplace.

(2) Self-management follows from self-awareness, offering the individual the ability to adapt to changing circumstances, called self-management. It is obvious that emotions cannot be ignored. Conversation, negotiation and mediation undertaken without reference to emotion is of very limited utility. However, negative emotions can make circumstances worse and may weaken a negotiator's cognitive and behavioural functioning (Gross, 2002). As a result, emotionally intelligent mediators and negotiators always use words and emotions that do not overwhelm other parties. Neutral vocabulary provides opportunities for

individuals to self-manage their emotions, whether they be positive or negative.

(3) Social awareness is about knowing others. When an individual is self-aware but does not take the emotions of others into account, prospects for success in negotiation and mediation efforts will be limited. (Sun Tzu, 2005). Once an individual understands her/his own emotion and reacts to other parties' emotions positively, s/he can achieve the ultimate success by understanding the needs and interests of other parties, their respective positions and how they wish to be treated (Shapiro, 2009),

(4) Relationship management gives an individual the ability to identify the competencies connected with the management of relationships (Goleman (2005). According to Goleman (2005), these competencies are: inspirational leadership, the ability to function as catalyst for change, the capability to create and maintain networks and, where appropriate, the ability to build effective constituencies.

Relationship management can differ from culture to culture. In some cultures, for example, people can be less emotional in expressing their perceptions, while in other cultures, emotional responses constitute normal behaviour. As a consequence, it is difficult in a diverse society to manage relationships effectively. In addition, according to Babcock and Laschever (2007), it is important for an effective negotiator to be aware of differences that may exist in respect of the ways in which emotions are expressed in different genders.

Attributes required for successful negotiations and mediations.

Negotiators and Mediators in the workplace need to understand the ways to inspire and motivate other parties, to filter out the values and desires people have and to identify the common interests of all participants. Shapiro and Fisher (2005) identify five requirements for successful negotiation which, if left unaddressed, are likely to result in the breakdown of negotiations: 1) Appreciation, (2) Affiliation, (3) Autonomy, (4) Status and (5) Role.

(1) Appreciation: a lack of appreciation for others may generate negative emotions that lead to poor performance in the workplace and create conflict between workplace team members. According to Shapiro and Fisher (2005), an effective way of showing appreciation is to listen to every party involved in a negotiation or mediation. It is important for the workplace to have a balance in the development of the organisation. The negotiator needs to find the common interest of all parties involved and to avoid any criticism of any person or idea. It is also essential to explore the merits of the conversation from each party's point of view and to use positive points to develop an environment that is conducive to the resolution of differences.

(2) Affiliation: a negotiator can create a relationship or affiliation by looking at a situation from the other party's point of view. According to Goleman (2005), success largely depends upon those who are capable of visualising themselves in the other party's situation. Desire for relationships is a primary human need. Neutral responses may increase

sensitivity to differences between individuals, thereby making the sense of rejection as deep as bodily pain. Hence, the objective of affiliation is to turn adversaries into team members in the workplace.

(3) Autonomy: When an individual feels the loss of existing control, there is the danger of an increase in the level of self-awareness and a reduction in awareness about others. Shapiro and Fisher (2005) recommend, "Close consultation with the other party on internal rules of conduct where parties are obliged to notify, hear or negotiate."

(4) Status: An individual can be experiencing low self-esteem when he is unable to use his position in an organisation. Failure of recognition of status given in the workplace can be a difficult situation. It is important to give everyone in the workplace status recognition. It is particularly important for a diverse organisation. Any negotiation should start by addressing the status of individuals in the workplace and gradually progress into an informal address. It is always beneficial in a negotiation to extend courtesy to improve the relationship. (Adler *et al*, 1996),

(5) Role: Recognising, rewarding and understanding the roles played by individuals in negotiating may take longer to relieve negative feelings, but time spent is well worth the effort in creating a pleasant emotional atmosphere. (Callahan S. 1988).

Conclusion

Negotiation is a necessity in the workplace that involves a complex process of behavioural, emotional, and cognitive competencies.

Bradberry and Greaves (2009) and Shapiro and Fisher (2005) have identified some key requirements for successful negotiations and made useful recommendations for improving emotional capabilities. Once these aims have been achieved, individuals should be able to address and maximise the essential requirements for successful negotiation.

According to Ayoko, et al (2002), little attention is being paid to the factors that determine the choice of dispute resolution methods in workgroups. It is important to understand that in the 21st. century, the importance and sensitivity of an individual's emotions in the workplace differ considerably, when compared to the attention placed upon emotions a few decades ago. This issue must be addressed as a high priority, and the negotiator must be able to address the emotional dynamics. Therefore, an organisation must train its employees about emotional intelligence, which can help them understand how to use emotions that not only support self-awareness and self-management but also promote engagement with social-awareness and relationship management. Similarly, managers in any organisation need training and development on how to give recognition to employees and how to deal with their emotional values. For example; managers need to show appreciation to employees for even the smallest amount of good work carried

out for the company. That little appreciation has the capacity to have a large impact on the employee's motivation.

It really is necessary for an organisation to develop and encourage high levels of emotional intelligence to avoid diverting attention from important matters in negotiation, to protect employees from being manipulated by other parties and to facilitate the progressive growth of the organisation..

The author believes that the employee's motivation in the workplace is not only determined by meeting extrinsic needs such as pay, but also fulfilling intrinsic needs. A good working environment is one of the most important intrinsic need that any employee should expect to be met. To maintain that good environment it is essential that a positive conflict management capability exists in the organisation.

Therefore, an organisation must train its employees about emotional intelligence, which can help them understand how to use emotions that not only support self-awareness and self-management but also promote engagement with social-awareness and relationship management. Similarly, managers in any organisation need training and development on how to give recognition to employees and how to deal with their emotional values. For example, they must also learn to show appreciation to employees for even the smallest amount of good work carried out for the company. That little appreciation

has the capacity to have a large impact on the employee's motivation.

It really is necessary for an organisation to develop and encourage high levels of emotional intelligence to avoid diverting attention from important matters in negotiation, to protect employees from being manipulated by other parties and to facilitate the progressive growth of the organisation.

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***Murabaha* Financing and Islamic Banking in Bangladesh: a case study**

Mohammad M Hasan

Abstract:

This article explores the use of *Murabaha* as one of the most common modes of operation used by Islamic Banks and references the Islami Bank Bangladesh Limited. It refers to a sale where the seller discloses the cost of the commodity and amount of profit charged. *Murabaha* is a sale of a commodity for profit, and its mechanism for operation is explained in simple terms as the bank purchasing the commodity at the level of the client's acquisition and selling it at a cost-plus-profit basis. *Murabaha* is a sales contract; whereas the conventional finance overdraft facility is an interest-based lending agreement and transaction. In case of *Murabaha*, the bank sells an asset and charges profit, which is a trade activity declared *halal* (valid) in the Islamic Shariah Laws¹.

Keywords: *Murabaha Contract, Cost plus sale, Sale, Debt, Musawamah, Asset Financing, Good Purchase, Trade Products*

Introduction

Islam is a natural religion with claims to recognise all basic needs of human beings and encourages a healthy trade and business activities that are both fruitful for individuals and society. According to the Holy Quran 'Allah has permitted trade and prohibited *riba* (Quran, Verse: 275- 279; Fadel, 2008). It is for this reason that Muslim people have become involved in trading. To undertake trade, people need to engage in financial activity, which involves lending and borrowing in terms of a loan with interest. Islamic banking is a relatively new experience for the investor in the banking sector. It was introduced in Egypt by Ahmad El Najjar in 1963, in the Egyptian town of Mit-Ghamar, in the form of savings accounts based on profit and loss sharing. In that iteration, it lasted no more than 10 years (Chong & Liu, 2009).

Following this period, there was a revolution in Islamic banking and finance necessitating the formation in 1974 of the Islamic Development Bank (IDB) by the Organisation of Islamic Countries (OIC). A number of Islamic banks were established including the Dubai Islamic Bank (1975), the Faisal Islamic Bank of Sudan (1977) and the Bahrain Islamic bank (1979) (Ariff, 1988). The Islamic bank model has now spread worldwide to meet increased customer demand and to assist individuals and countries emerging from recessions. This article is based on criteria for Islamic banking and

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- 1 Islamic Shariah Laws: All aspects of a Muslim's life are governed by Sharia. Sharia law comes from a combination of sources including the Quran (the Muslim holy book), the Hadith (sayings and conduct of the prophet Muhammad) and fatwas (the rulings of Islamic scholars) (Hassan & Lewis, 2007).
 - 2 *Riba al-fadl*, which means adding to the amount when exchanging one item for another of the same type.
 - 3 Chapter 3 Sipara 'Tilkar Rosolui, Sura: 2 'Al Baqarah
 - 4 IDB. The Islamic Development Bank is an international Islamic financial institution. The purpose of the Bank is to foster the economic development and social progress of member countries and Muslim communities individually as well as jointly in accordance with the principles of Islamic Shariah Laws (Islamic Development Bank, 2017).

finance and explores how Murabaha financing can benefit clients, rather than using the services of more conventional banks. This article also describes how the Islami Bank of Bangladesh Limited (IBBL) uses Murabaha financing. (Kettle, 2011).

Murabaha Contract

Review of selected literature suggests that *Murabaha* is a term of Islamic *fiqh* (Islamic jurisprudence) and one type of trust sale (*Bai al-amanah*). *Murabaha* refers to a seller disclosing his cost of goods and adds a certain amount of profit when arriving at a final selling price. The practice of Islamic banks is to provide finance. As a financing technique, if clients ask for or request the bank to buy a specific product, then the bank does this for a clear-cut profit. It is important that the seller must disclose of the cost price of goods and the addition of profit margin at the time of sale. If the cost is not disclosed, then it will be regarded as a normal sale known as *Bay al-musawamah* (Diwani, 2010) and will not qualify for *Murabaha* financing. It is important to note here that all activities must meet the terms of Shariah Laws.

Murabaha is a type of sale and not a type of financing in its origin. However, it is commonly used as an alternative to finance capital with certain limitations in the modern Islamic bank. *Murabaha* is also classified as a trustee sale. If the buyer trusts the seller, then the cost price of goods will be disclosed. The distinguishing characteristics of *Murabaha* from the ordinary sale are: the seller mentions the cost of goods to the buyer, and a lump sum profit is added. Since *Murabaha* is the sale, the payment system may be (1) at spot (2) on an instalment basis (3) as a lump sum after an agreed time.

Murabaha does not imply the concept of deferred payment, which is commonly misunderstood by people. *Murabaha* is a sale transaction and must be followed according to Shariah Laws.

There are some rules for a *Murabaha* sale. Assets to be sold must exist, the sale price must be determined, and the sale must be unconditional. However, the asset should only be used for purposes accepted under Islamic laws and be owned by the seller at the time of sale, physically or constructively⁵. Some important points about *Murabaha* transactions are made by the author in the following paragraphs..

Collateral provisions for *Murabaha* payment

For successful *Murabaha* financing, the seller has to ensure that the *Murabaha* payment will be repaid on a due date. For this reason, the seller stipulates an acceptable security to recover the payment in case the buyer is unable to pay (Kettle, 2011). In terms of Shariah Law restrictions, the seller cannot ask for security until the buyer has incurred the liability or the debt. However, it is permissible when the buyer incurs a debt.

⁵ As an example: an unborn animal cannot be sold under *Murabaha* because it does not exist at the time of sale

The Penalty for default

If a buyer defaults on one or more instalments, it is not permitted for the seller to increase the selling price or increase the instalment as a financial punishment for the buyer. Modern scholars have approved the rights of sellers to charge a certain amount of penalty, but it should be separate from the principal amount and the fee will be used for charity purposes (Diwani, 2010).

No 'rollover' in *Murabaha*

In a conventional Westernised bank, if a customer defaults for any reason, the bank can be approached to extend the facility. The extension of time is called 'rollover'. In *Murabaha* financing, transactions cannot include an extension of time because it is not a loan. It is trading between a buyer and a seller. Any roll-over in *Murabaha* is not permitted by Shariah Laws (Kettle, 2011).

Rebate on earlier payment

Sometimes a client may wish to pay early before financing maturity and apply for a discount for early payment. In such cases, the question arises as to whether or not it is permissible to provide a discount on early repayments made under *Murabaha* transactions. The question has been discussed by Islamic scholars, and two opposing opinions have been mooted: (1) a discount is permissible and (2) a discount is not allowed when agreements do not include early repayment discount options. A middle line seems to have been taken, in that in the case of needy sellers, some consideration can be given as a *Murabaha* voluntary discount (Kettle, 2011).

Misapplication of *Murabaha* financing

Murabaha can be used only for trading. It is not allowed in Shariah Laws for *Murabaha* to be implemented for financing the overhead expenses of a firm or salaries, wages, factory rent, etcetera. Therefore, Islamic banks must ensure that the client intends to purchase the goods (Diwani, 2010).

Comparisons between conventional banks and Islamic banks in the context of *Murabaha* financing

In the modern economic world, there are two types of banking systems: conventional banking which is based on interest and Islamic banking, which is interest-free banking under the rules of Shariah Laws. The main difference between Islamic banking and conventional banking is that Islamic scholars state that money has no fundamental value and, therefore, do not allow Muslim people to profit by lending it without taking any sort of risk and interest (*riba*) cannot be charged. To make money from money is prohibited in Islam (Kettle, 2011). Wealth can only be generated by engaging in genuine trade and investment. Any profit achieved relating to trading is shared between the capital providers and the person who provides the expertise. The two basic difference between conventional and Islamic banking are (1) conventional banking is concerned with the removal of risk and Islamic banking takes the risk (2) conventional banks do not assume any liability involved in a transaction with the consumer; they only take benefit from interest. Islamic banks accept the liability involved. Taking any benefit without bearing any risk is not allowed in Islam.

There is a vast difference between *Murabaha* transactions and conventional interest-related loans. A conventional bank advances cash in the name of loanee, which gains interest. When conventional banks give a loan to the customer or client to purchase goods or machinery and any risk or loss occurs, conventional banks will not bear any of the risk. On the other hand, Islamic banks first purchase the goods or machinery and, in taking ownership, assumes the risk for that item. The Islamic bank will sell it at a particular profit without disclosing the cost of goods to the customer. Islamic banks disclose the cost of goods and profit in *Murabaha*.

According to Holy Quran “*trading is permissible and interest is prohibited*”. The logical reasoning for the permissibility of *Murabaha* is that the Islamic banking system assumes the risk of the subject matter of the sale and, according to Islamic scholars, ‘*whoever assumes the risk is eligible to earn a profit from such goods*’. Therefore, the difference is clear: conventional banks deal only with money, while Islamic banks deal only with trading and investment.

Islami Bank Bangladesh Limited (IBBL) using *Murabaha* as a mode of financing

Bangladesh is a third largest Muslim country in the world with around 160 million inhabitants. Most of the population are Muslim, and, in 1983, the first Shariah Laws-based banking system was introduced in Bangladesh to provide opportunities for banking in accordance with Shariah Laws. IBBL was formed as a public limited company under the 1913 Company Act and became the first

Islamic bank in Bangladesh, Initial operations commenced on March 30, 1983. IBBL currently has 251 branches in Bangladesh, taking deposits and investing in deposits under Shariah Laws, which are monitored by the Central Shariah Laws Board for Islamic Banking in Bangladesh.

***Murabaha* financing in IBBL**

To earn a positive return for the owner and depositors at IBBL, investments are used to utilise the funds in a systematic manner, while abiding by the principles of Shariah Laws. *Murabaha* is one of the modes of financing in the Islamic banking system. As stated previously in respect of general practices, *Murabaha* in IBBL constitutes a contract between a seller and the bank, and sellers are bound to disclose the cost of product and profit on the product. Payment could be on the spot or in the future, based on the agreement (Sarkar, 2009).

There are two types of *Murabaha* recognised:

(1) *Ordinary bai Murabaha*, which is a normal transaction between a buyer and a seller and there is no involvement of third party; and (2) *Bai Murabaha order on and promise*, where there are three parties involved, the buyer, the seller, and the bank. In the second type, the bank is an intermediary trader between the buyer and seller. The Bank receives a promise from the buyer, and, under this agreement, the bank purchases the product from the seller in order to fulfil the sale (Kayed and Kassim, 2009).

To achieve the sale, the IBBL follows certain stages for financing under the *Murabaha* system. As a first stage the seller submits a proposal in accordance with the Bank's

requirements. This covers the sale specifications, which include detailed features of products, date, time, place of delivery and payment method. After that, IBBL makes another proposal, either accepting the price or making a counter offer. The second step involves the client's promise to buy the product from the bank under the *bai Murabaha* basis at the agreed price. The Bank accepts the promise or order and formulates the terms and condition of the transaction. At the third stage, the IBBL informs the client to gain approval of the agreement to purchase. The Bank may pay now or at a later stage. It is at the fourth stage that IBBL and the client sign the contract, which will be in accordance with an agreement to purchase on the basis of *Murabaha* financing. At the fifth stage the bank gives permission to the client or its nominee to receive the goods. During the final stage, the seller delivers the goods, which the client receives as the representative of the legal owner, and notifies IBBL that the transaction has been completed by proxy (IBBL, 2017).

IBBL operational mantra for *Murabaha* financing:

1. Before procurement, the Bank ensures profitability by researching the marketability of goods, the integrity of the client and the expected profit.
2. The Bank itself purchases the goods for the clients.
3. The Bank requires advance deposits as security, usually from 25% to 30% of the sale price, in the form of cash or goods and on completion the bank will return the deposit.
4. If deemed appropriate, the Bank will demand collateral or securities prior to confirming the payment.
5. In the event of payment failure or in case of failure to receive goods, the Bank retains the right to sell the goods at a higher price

anywhere and adjust the investment account by any additional amount.

6. The Bank can surcharge if there is any damage to goods and seek compensation without challenge.

7. The ownership transfers to the client only after completion of the sale, prior to which the Bank retains ownership.

8. The duration of *Murabaha* financing is 2 months to 12 months.

9. All types of trading can be undertaken by *Murabaha* finance.

10. *Bai Munjal*, similar to *Murabaha* finance, allows for immediate ownership transfer to the client, with the Bank taking collateral. This form of transaction is used particularly for Government or Municipal business involving building, transport and or valuable items where default risk is minimal (Alam, 2011).

Conclusion

The principles of Islamic finance emphasise the market-based risk-sharing of financing that promotes asset and enterprise, deploys finance in the service of the real economy, and facilitates the redistribution of wealth and opportunity (Hayat & Malik, 2014). To protect from *riba*, Islamic practices propose an alternative called 'trading'. The Quran states trading is 'halal' or permissible and *riba* is 'haram' or prohibited. *Murabaha* is one type of financing as a mode of investment (Al Baraka, 2017). Under Shariah Laws, Islamic banks are not permitted to use any debt-based instrument to mitigate credit risk, nor any speculative methods. Islamic banks can share their losses with the depositors through the Profit-and-Loss mode of financing on the liabilities side, an option not available to conventional banks (Kabir et al, 2015). *Murabaha* is a trading operation, under which the bank is bound to disclose the cost of goods to the client. IBBL is the top ranking commercial bank among others. It has the

highest number of branches compared to other commercial banks and executes all investments under the principles of Shariah Laws.

There is always a credit risk in business. According to Golin (2001), credit risk in general term means the loss in which risk occurs on the financial obligation, with a tendency for default; and thus it is the degree of potential loss. Traditionally, the bank places great emphasis on the relationship with its customers; however, nowadays they must be able to assume and predict the behaviour of customers in terms of payment obligations. Therefore, having several borrowers, banks

must apply methodologies and techniques for implementing sophisticated models in order to enhance their credit risk management systems, especially when undertaking Murabahah financing contracts (Akkizidis and Khandelwal, 2008). There are five (5) steps to minimise the risk of vulnerable borrowers in Murabahah, which include the identification of credit risk exposure, the application of credit risk assessment models, an valuation of credit risk, risk mitigation and lastly having the validation of credit rating systems (Mousavi and Mahdavi, 2008).

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Guidelines for Contributors

Introduction

The JCDMS seeks to accommodate the interests of individuals at all levels in the Higher Education sector. A key aim is to provide opportunities for all parties interested in Higher Education to submit and publish work in a peer-reviewed academic journal in respect of issues relating to Contemporary Development, Management, Health and Social Care and Education and Skills. Individuals interested in submitting work for publication in the JCD&MS may do so, using a variety of forms [Details, Section One].

The JCD&MS Editorial Panel seeks to expand its remit and focus beyond London Churchill College. To that end, the Principal Editor is particularly committed to providing opportunities for academic and service staff in UK private Higher Education Providers and/or those individuals engaged in collaborative arrangements with UK Universities and other HE providers to produce and to publish individual and collective research results and academic papers in the Journal.

Section One. Categories for Submission

Guidelines on the categories for submission are set out below to assist authors in selecting the most suitable format for their submissions. [See Section two for presentation requirements.]

1. Academic Articles
2. Research Reports
3. Reviews
4. Letters
5. Monographs
6. For Debate Articles
7. Commentaries
8. Editorials
9. Book Reviews

1. Academic Articles

Academic articles are original, scholarly outputs that report findings which represent advances in the understanding of a significant problem. Academic articles can have far-reaching implications for the advancement of knowledge in a specific field.

1.1. Abstracts

Academic articles should have an abstract, separate from the main text, of up to 300 words. This is not referenced and does not contain numbers, abbreviations, acronyms or measurements unless absolutely essential. Abstracts should be understandable to readers outside the discipline.

The abstract should contain an introduction to the field; a brief account of the background and rationale of the work; a statement of the main conclusions [introduced by the phrase 'Here we show' or 'From this research...' or equivalent]; and finally, 2-3 sentences putting the main findings into general context; so that it is clear how the results described in the paper have moved the subject area forward.

Any numbers provided in the abstract must match exactly those given in the main body of the text or tables. With quantitative studies involving statistical tests, abstracts must provide p values or effect sizes with confidence intervals for key findings. The conclusion of the abstract must state the key findings of the research undertaken.

1.2. Keywords

A list of up to eight keywords should be included to identify the contents of the paper.

1.3. Structure

Academic articles should open with an introduction of around 500 words

before proceeding to a concise, focused description of the findings. Discussion and analyses of results are required.

1.4. Word count

The length for academic articles is 3,000-5,000 words, excluding abstracts, tables and reference lists. The word limit can be increased to 7,000-8,000 words in cases where research findings contain empirical results.

1.5. Subheadings

The text may contain a few short subheadings, preferably not more than six in total. Subheadings should not be more than 40 characters in length (less than one line of text).

1.6 Figures and Tables

Academic articles typically have 5 or 6 display items [figures and/or tables]. All tables and figures should be inserted into the main body of the text. The source of the information, whether it be the author's own work or the work produced by another author should be cited immediately below the table.

Legends should include keys to any symbols. (Note: In the full-text online edition of the *JCD&MS*, figure legends may become truncated in abbreviated links to the full-screen version.) Therefore, the first 100 characters of any legend should inform the reader of key aspects of the figure or table.

1.7 References:

Academic articles can contain up to 50 references. **[See Section Two, 2.3 for details.]** Authors should ensure that the introduction and discussion sections of academic articles cite the most recent relevant literature and not just literature from a single research group, region or country. Academic articles may include systematic reviews and one or two of the pivotal studies that have been summarised in a particular reference.

2. Research Reports

Research Reports are papers reporting original findings from individual studies [or groups of studies]. The study or studies may be qualitative or quantitative and may involve experimental or non-experimental designs.

Authors of research reports should aim for no more than 3500 words excluding abstracts, tables and references. Clinical trials and studies with complex methods/analyses may require greater length to ensure full reporting of all relevant aspects of methods and results. Consequently, the main text of qualitative manuscripts may be up to 4500 words in length, including tables, to facilitate the inclusion of direct quotations.

3. Reviews

Reviews draw together a body of literature to reach one or more major conclusions. It is expected that reviews will be 'systematic', which means they will set out very clearly the search strategy [including key words where appropriate], the selection criteria for the articles included, and the basis for integrating findings. A review may be up to 4000 words in length, excluding the reference list.

4. Letters

JCD&MS publishes solicited and unsolicited letters. They may express opinions about articles published in the Journal, report on a development, or comment on some issue of potential interest to readers. They will normally be refereed. Letters do not report new findings, unless they extend findings of a paper published in the *JCD&MS*. Letters should normally be no longer than 500 words with up to 20 references. If a letter comments upon a paper already published in the Journal, then this should be cited at the beginning of the letter. The author of the paper cited will be given the right to reply.

5. Monographs

JCD&MS will publish occasionally Monographs of 4,000-10,000 words,

excluding titles, abstracts, tables, figures and reference lists. Monographs constitute major pieces of substantive writing and in-depth analyses and syntheses that cannot be expressed within the normal word length limits. Monographs might include extensive systematic reviews of major topics or investigate critically a series of linked studies addressing a common research question. They are expected to provide robust theoretical underpinnings to support the primary thesis.

Authors who are interested in submitting such a piece are advised to contact the Principal Editor of *JCD&MS* in the first instance, as the Principal Editor will only accept monographs which are of substantial importance and align with the *JCD&MS*'s remit. Thereafter, decisions regarding publication will be based on outcomes of the peer review process [See Section Three, the Review Process.] There are no grounds for appeal where decisions have been taken by the *JCD&MS* Editorial Panel to reject a monograph. However, authors may elect to submit papers to the Journal written in one of the other eight formats, based upon monograph material.

Authors wishing to submit monographs for consideration should submit in the usual way, but should add a note on their cover page explaining that they would like the submission to be treated as a monograph. [See Section two: 2.1.] Monographs should carry structured abstracts [no more than 300 words] and include headings similar to those described for Academic Articles, Research Reports or Reviews.

6. 'For Debate' articles

'For debate' articles are opinion pieces up to 3500 words in length. They synthesise research in a way that adds important new insights. They should be written in an international context and make one or two key points that are more in the way of opinion rather than fact. The point[s] will normally challenge existing thinking, raise an issue that has been neglected, take an issue forward that is currently being considered, or reinforce one side of a

debate that is currently underway. 'For debate' articles can investigate matters of policy, treatment, assessment/diagnosis, theory or methodology and should be written in a lively and engaging style. 'For debate' articles should follow the abstract and article guidelines required for reviews.

Interested parties may submit commentaries about 'for debate' articles in subsequent issues. [See point 7 below.] If commentaries are accepted for publication, then the author of the 'For Debate' article will be given the opportunity to respond to any commentaries made.

7. Commentaries

A commentary should add a further perspective or point of view to a particularly important item published in the *JCD&MS*. Rather than being a review of the article, authors should use the findings as a stepping stone to make one or two points of wider relevance to the field. A commentary should be between 500-1000 words in length, with up to 20 references. When commenting upon an item published previously in the Journal, a direct reference to the title and the author should be included at the beginning of the commentary and cited in the reference list. There is no abstract, but commentaries should begin with a one or two sentence summary setting out the main points.

8. Editorials

Editorials appear at the start of every issue of the *JCD&MS*. They are significant pieces of academic writing that differ substantially from academic articles, reports or reviews. Their purpose is to stimulate debate, identify issues and push ideas forward. An editorial should make one or two key points that are more in the way of opinion rather than fact. The point[s] will normally challenge existing thinking, raise an issue that has been neglected, take a current issue forward, or reinforce one side of a current debate. Editorials should be cautiously optimistic but provocative in approach. As is the case with 'For debate' articles, the focus is most commonly placed on matters of policy, treatment, assessment/diagnosis,

theory or methodology. They should be written in a lively and engaging style with the point[s] very clearly stated and take international perspectives into account. Editorials should be no more than 1000 words in length and contain no more than 20 references. There is no abstract, but editorials should begin with a statement of one or two sentences setting out the key points to be made in the work.

9. Book Reviews

Book reviews should place the book in the context of other literature deemed to be relevant in the field, rather than summarising the content. Books selected for review should be selected on the basis of their general relevance to contemporary developments and/ or management studies. Authors should endeavour to make them a 'good read'. Authors should identify what is good and worthwhile in the book for JCD&MS's varied readers. In cases where a negative appraisal of the book must be made, then the critique should be rendered in a professional manner. Book reviews should be no more than 1,000 words in length. Up to ten references may be cited.

Section two. Presentation guidelines for all submissions

2.1 Front sheet[s]: Applicable to all forms of submission.

Front sheet[s] should always include the title, a list of authors (including their affiliations and addresses), the word count [excluding abstract, references, tables, and figures], and, if applicable declarations of competing interest and clinical trial registration details. A running header, usually the title, should also be provided on the front sheets that will appear on every page of the written work.

2.2 Typeface

Papers should be completed in Microsoft WORD 2000 [or higher version], with at least 1.5 line spacing.

The title should be in bold capital letters in Arial 12-point font and the names of the

authors should be in Arial 12-point font. Headings and sub-headings should be in bold letters and in Arial 10-point font.

The text should be in Arial 10-point font. Paragraphs should be aligned to the left. All pages should be numbered.

2.3 Referencing.

Appropriate in-text citation should be used, and a full reference list should appear at the end of the paper. Authors are expected to use the Harvard Referencing system [Author, date] for listing references [if any author is unsure of the reference listing style please contact JCD&MS]. In the reference list, contributors should include the names of the first six authors for a single work; thereafter, use the term *et al.* The name of the last author should also be included if this person is the senior author for the paper. Issues/parts numbers should be included. Pertinent citations to conference abstracts and/or unpublished work are welcomed, providing they support claims made in the submission.

2.4 Submission

Manuscript should be submitted in a single Microsoft Word file unless it is essential to put figures in other files. Files in submitted in other text versions, for example, PDF or Apple will be returned to the contributor who will need to resubmit the manuscript in the appropriate file format. Manuscripts should be emailed to journal@londonchurchillcollege.ac.uk within the time frame advertised under the 'Call for Papers'.

2.5 Defamatory statements

Authors should refrain from making defamatory statements about specific individuals or organisations, whether or not they believe such statements are justified.

2.6 Permission to reprint source material

If a paper uses all or parts of previously published material, the author must obtain

permission from the copyright holder concerned. It is the author's responsibility to obtain these permissions in writing and provide copies to the *JCD&MS*.

2.7 Histograms

Do not include histograms with three-dimensional blocks or shading as this can make interpretation difficult.

2.8 Colour illustrations

Authors are expected to pay the full cost for reproducing colour artwork in hard copy publications. Therefore, if there is colour artwork in the manuscript when it is accepted for publication, then the Principal Editor of *JCD&MS* will require authors to defray such costs before the paper can be published in hard copy.

2.9 Preparation of electronic figures for publication

Please contact the *JCDMS* for instructions regarding any high-quality images that are included in the submission

2.10 Supporting information:

Additional material of comprised of lengthy appendices [e.g. extensive reference lists or mathematical formulae/calculations], deemed to be relevant to a particular submission but not suitable or essential for the print edition of the Journal, may also be considered for publication in the on line version.

2.11 English-language editing:

If English is not the first language of authors, they are advised to have their manuscript edited by a native English speaker prior to submission. Wherever possible, the Principal Editor of *JCD&MS* will try to accommodate papers from authors in countries where proofreading resources in English are not available. However, if the meaning of the text provided in English is unclear, then the Principal Editor will return the manuscript to the contributor and request the contributors to re-submit work at a suitable English standard.

2.12 Papers not complying with editorial requirements:

A manuscript that does not comply with journal requirements will be returned to the author.

2.13 Ethical Principles

JCD&MS supports ethical principles. As such, when submitting papers online, authors will be asked to state that:

All authors have been personally and actively involved in substantive work leading to the report and will hold themselves jointly and individually responsible for its content;

All relevant ethical safeguards have been met in relation to patient or subject protection, or animal experimentation, including, in the case of all clinical and experimental studies review by an appropriate ethical review committee and evidence of written informed patient consent

Papers will be returned that contain sexist, racist or other non-acceptable language.

2.14 Declarations of interest

Any declarations of conflicts of interest should appear after the list of authors and addresses. Declarations of interest do not indicate wrongdoing but they must be declared in the interests of full transparency. For example, any contractual constraints on publishing imposed by an organisation or private party that has funded the research must be disclosed. The time window for declaring such financial links is normally within three years of the date of article submission.

If an undeclared conflict of interest comes to light, the Principal Editor reserves the right to withdraw the paper from the *JCD&MS* production process.

2.15 Plagiarism

Plagiarism involves using someone else's work without appropriate attribution. If sections of text numbering more than 10 words have been copied verbatim these must be put in quotation marks and a full citation given. Copying more than a few lines verbatim is not normally acceptable unless a specific reason can be given and permission has been obtained from the owner of the copyright [and the author, if different]. We will treat plagiarism as serious professional misconduct and respond accordingly.

3. The Review Process

3.1 Review Stages.

Each manuscript is screened initially by the Principal Editor. Those deemed to be inappropriate for publication in the *JCD&MS* will be declined without going to full review. In those cases, authors will receive an explanation as to why the manuscript has been declined.

In addition, the Principal Editor will also return manuscripts to contributors that require substantial re-writing, because the text is unclear, the material has been poorly organised, or substantial errors in written English exist that could have been remedied had the contributors proofread their own material and conducted spelling and/or grammar checks. The initial screening process should take about three to four weeks. Contributors who are asked to re-submit work will be given extra time to do so.

Manuscripts that pass this stage are sent to two Reviewers [who may be *JCD&MS* Editorial Panel members]. Reviewers may return the manuscript un-reviewed if a serious limitation is identified; otherwise, both reviewers will provide feedback about each submission to the Principal Editor, who will communicate the recommendations made by the two reviewers to the authors. The process should take no more than four weeks.

If authors are invited to revise and resubmit a manuscript, then they should

submit the revised version within six weeks in order to meet issue publication deadlines. An extension will usually be granted if requested. A decision on the revised version may be taken by the Principal Editor or she/he may consult an Editorial Panel member or put the revision through another full review process, depending on the nature and extent of the revisions that have been requested. A decision on the revised version should normally take less time than the original review process.

3.2 Evaluation Criteria

Work submitted for publication in the *JCD&MS* are evaluated according to the following criteria, depending upon the category of the submission:

- Degree to which the contribution fits within the remit of *JCDMS*;
- Appropriateness of the analysis;
- Evidence of original thinking, including new ideas and insights;
- Significance of the theoretical and methodological contributions, if applicable;
- Appropriateness of the literature review, if applicable;
- Implications for practitioners, academicians and scholars;
- Quality of the discussion and interpretation of the results;
- Organisational structure;
- Coherence and clarity of text;
- Professional standard of writing (grammar, punctuation and spelling);
- Appropriate use of the Harvard referencing system.

3.3 Reviewers' Disclosure

Reviewers have the option of disclosing their identity to the authors by adding their

name to the bottom of their review comments. The Editorial Panel encourages this in the interests of transparency.

3.4 Appeals

Requests for appeal will usually be considered only where the author makes a case that one or more Reviewers have clearly made a substantive mistake. Appeals will not normally be considered in cases where there is a difference of opinion about the importance of the findings nor in cases where the author believes that issues identified by the reviewers can be resolved if s/he presents a revised version.

It is important to bear in mind that the comments received by authors are primarily intended to help authors make revisions, either for publication in the *JCD&MS* or submissions elsewhere. In some cases the decision not to publish an article will be made on grounds of priority given the pressure on space within the journal. In those cases, individuals will be informed of opportunities available to resubmit their work at a later date.

3.5 Proof-reading and Corrections

Authors are responsible for all statements made in their contributions. Therefore, it is essential that contributors ensure their work has been carefully proof-read prior to submission. All manuscripts will be proof-read by a member of the *JCD&MS* Editorial Panel, but the *JCD&MS* will not accept responsibility for any statement or textual errors appearing in the published work that the author has failed to correct prior to final submission.

3.6 Copyright

It is a condition of publication that authors grant copyright to the *JCD&MS* for all submissions, including abstracts. Other than in exceptional circumstances, all illustrations are retained by the publisher.

Authors are responsible for obtaining permission to reproduce copyright material from other sources.

JOURNAL OF CONTEMPORARY DEVELOPMENT& MANAGEMENT STUDIES

VOLUME 6

Autumn 2018

Contents

Introduction	04
Tommie Anderson-Jaquest, Principal Editor	
Contributors	06
Editorial: Education and Life: failings in the education system	08
Edmund Wright	
The rationale and strategy available to the UK for developing a transnational higher education provision.....	09
Nazim Uddin and Nick Papé	
Higher Education Enhancement and Privately-owned Institutions in Developing Countries.....	18
Priyangani Ariyawansa	
Using twin lenses from psychodynamic and sociocultural theories to investigate what facilitates learning on psychodynamic psychotherapeutic courses.....	28
Nick Papé	
Entrepreneurship and Innovation: Tackling business failures in the UK through developing a prior-learning model.....	57
Arif Ahmed Sunny	
The Syrian Identity (1): An exploration of the legacy of colonialism illuminating the Diaspora of a nation	66
Isabel Morrell and Nick Papé	
A Developer's Guide to Enhance Software Security	79
Mahin Talukder	
Emotional intelligence and its impact on negotiation and mediation in the workplace	94
Arif A. Sunny	
Murabaha Financing and Islamic Banking in Bangladesh: a case study.....	100
Mohammad M. Hasan	
Guidelines for Journal Contributors	107



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