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## How to prevent youth crime in Macedonia?

**Blerta Ahmedi Arifi**

PhD Cand. PhD Assistant on Criminal Law, Faculty of Law - South East European University,  
Tetovo - Republic of Macedonia

### Abstract

This research paper analyzes the policy of Republic of Macedonia on preventing youth crime. It gives a focus on some main points of the topic, such as: The institutional measures there are implemented to prevent youth crime, such as the legislation and the national strategies of the state; The analysis of the special and general preventive effect of the penal sanctions for children. Also, there is presented the analysis of the influence of some social factors as preventive measures for the youth delinquency, such as: The education system; The free time of the youth people; The role of their family; The economic level of the children's families; The circle of persons who they accompany and the access to the mass media. During this study there are used some methods, such as: The literature review for this topic and the interpretation of the legal provisions for youth crime; The survey and the interviews made with secondary school pupils and the comparative method used for some social factors, as some like more relevant beside others for preventing the youth crime. The results and conclusions of this research paper will contribute on finding the most relevant measures on preventing the youth/child crime in Macedonia.

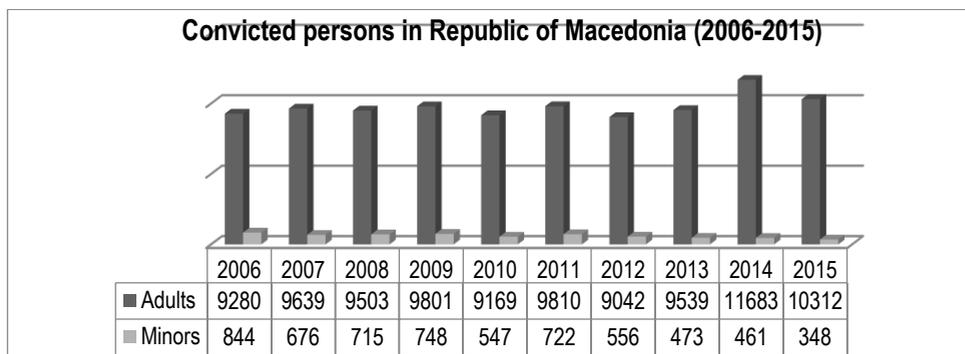
**Keywords:** Prevention of youth crime, preventive policy, measures, social factors.

### Introduction

The preventive characteristics of the criminal sanctions is expanded in two areas: On the General prevention of the crime and on its special prevention. The general Prevention - signifies the influence to the citizens, and in particular on the children or youth people to not commit crimes. This is achieved by causing fear to them from the sentenced penalties to the incriminating offenders. And, the Special prevention signifies on preventing the perpetrator of the crime to (not) do again the same or another crime.

In the following, there are presented the data on the number of children convicted, for the time period 2006-2015, based on the data published by the State Statistical Office of the Republic of Macedonia.

### The number of convicted persons in Republic of Macedonia during the period of 2006-2015



**Table 1.** (State Statistical Office of the Republic of Macedonia, 2016)

From the data presented in table 1, we can see the difference of the total number of the convicted offenders during this ten years period of time (2006-2015) in Macedonia. It is obviously presented the number of young offenders is quite smaller in difference with adult offenders. Also another positive indicator is the decreased number of the minors convicted during the last years. This is another incentive element for analyzing the preventive measure that may have been effective on this reduction of youth crimes in our country especially for the last years! In this point it takes us to give the answers to these two hypothesis:

How effective have preventive measures proved to be against the crime of children in RM?

How much has the aim of the special prevention of the criminal sanctions in convicted children for criminal actions been achieved in Macedonia?

**The number of reported, accused and convicted children during the period of 2006-2015**

**Table 2**

Year	Reported	Accused	Offended
2006	1500	987	844
2007	1229	839	676
2008	1355	981	715
2009	1519	1030	748
2010	1244	750	547
2011	1163	1002	722
2012	1001	778	556
2013	1005	657	473
2014	972	712	461
2015	772	465	348

**Table 2** (State Statistical Office of the Republic of Macedonia, 2016)

In Table n. 2 we can see the number of reported children, those accused and those convicted for each year, from which we can clearly see the difference in numbers of criminal acts from one phase of criminal procedure to another, thus showing that not every single criminal case that is initiated with criminal charges in the preliminary stage will reach the accusatory stage; and also not every issue prefixed with charges will reach the judicial review, namely will be concluded by a sentencing decision/court verdict! And this fact is especially taken into account when it comes to a suspect, an accused or a defendant who is a child, taking into consideration the special and privileged treatment that children have throughout the criminal-legal system, with the sole purpose - protection of the child's interest!

**Table 3 Number of convicted children in the Republic of Macedonia during the period of 2006-2015 and the number of convicted female children during the same period**

Year Total	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015
	844	676	715	748	547	722	556	473	461	348
<b>Females</b>	-	24	38	49	20	22	9	24	16	22

**(Perpetrators of criminal offences in 2014, Skopje, 2015, Statistical review / State statistical office of the Republic of Macedonia, Population and social statistics,2.4.16.08)**

In Table n. 3, the number of convicted children in the Republic of Macedonia for the duration of the time period specified in the research is shown, while specifying the number of the total number of the convicted children for each year as well as the number of female children that have been convicted during this time period. In 2006 we have 844 convicted children, in 2007 a total of 676 convicted children, in 2008 a total of 715 convicted children, in 2009 a total of 748 convicted children, in 2010 a total of 547 convicted children, in 2011 a total of 722 convicted children, in 2012 a total of 556 convicted children, in 2013 a total of 473 convicted children, in 2014 a total of 461 convicted children, and in 2015 a total of 348 convicted children. Something that can be noticed immediately in this table is the fact that there is a tendency of decline in the numbers of convicted children in our country, during the last few years, especially if we make a comparison between the first years that this research covers and the last years, where we see that the number of convicted children has decreased by 50%. (Arifi, 2017)

Another indicator in Table n.2 reflects the number of female children that have been convicted, compared to the total number of convicted children. In this case as well it is hardly impossible to notice the relation of the children from both genders, in the context of their inclination to committing criminal acts. We can see a very small number of female children convicted along the ten year period that the research covers compared to that of male children. Namely, for 2006 from a total of 844 convicted children, there are no published data in the State Statistical Office of the Republic of Macedonia for the number of convicted female children; In 2007 from a total of 676 convicted children only 24 are female children. In 2008 from a total of 715 only 38 female children are convicted for criminal offence; During 2009 from a total of 748 only 49 female children are convicted; During 2010 from a total of 547 convicted children only 20 were females; During 2011 from a total of 722 convicted children only 22 were females; During 2012 from a total of 556 convicted children only 9 females; In 2013 from a total of 473 convicted children only 24 are females; In 2014 from a total of 461 convicted children only 16 were females and in 2015 from a total of 348 convicted children only 22 of them were. (Arifi, 2017)

Thus, from these numbers we can conclude that the female minors, namely the children belonging to the female gender, are less included compared to the male children to commit criminal act, and this can be seen in the very small percentage of convicted female children during the period of 2007-2015. Also, if we can say that the overall number of convicted children has positively decreased in the last years, the same cannot be said specifically for the number of convicted female children, because as we can see in the table this number has a relatively stable state with an average that fluctuates between 20 to 40 female children convicted during the year. This tendency of decline of the number of the convicted children from 2012-2013 and onwards, can be related to some dilemmas, or solutions, like for example priority in pronunciation by competent authorities and in enforcement of noncriminal measures against children - assistance and protection measures, which might have contributed to the decrease of the number of convicted children, given that these non-criminal measures were imposed on them. Thus, it is possible that the number of convictions has decreased rather than the criminal phenomenon of children in the country. This question can be somewhat cleared up if we analyze the number of reported children, namely children towards whom criminal charges were raised during the years of research in table. 1. However, we can normally analyze other factors that might have influenced the decrease of the number of convicted children, such as the preventive measures on child crime, which might have actually yielded success in decreasing the criminality of children these past years! (Arifi, 2017)

### **The legal regulations for prevention of the children's crime**

#### **The Law on Justice for Children**

The positive law which regulates the criminal law for children in Republic of Macedonia (for all persons 7 - 18 years old), on its sixth part titled "Prevention of children's delinquency", articles 154-159 regulates the issues for the competent public organs for working on preventing the youth crime. (Law on Justice for Children of Republic of Macedonia, 2013) There is established a special public organ named The State Council for the Prevention of Children's Crime. This State Council shall be independent and independent in the performance of the activities determined by this law. It is composed of 15 members elected by the Parliament of the Republic of Macedonia for a term of five years, with the right to re-election, of which: - seven members of the State Council are proposed by the Minister of Justice and are representatives of the Ministry of Justice, The Ministry of Labor and Social Policy, the Ministry of Education and Science, the Ministry of Interior Affairs, the Public Prosecutor's Office of the Republic of Macedonia, the Supreme Court of the Republic of Macedonia and the Bar Association of the Republic of Macedonia; Eight members of the State Council are selected by ranks of a public announcement, among the prominent scientific and professional workers who are working on the protection of the interests of the children, one of which is from the ranks of the non-governmental organizations for the protection of children. The State Council shall have its seat in the Ministry of Justice and a representative from the Ombudsman shall participate in the work of the Council. (Law on Justice for Children of Republic of Macedonia, 2013)(art. 154)

The state administration bodies, courts, public prosecutors, as well as legal persons who perform public authorizations in the area of schooling, education and protection of children, are obliged to cooperate with the State Council for the accomplishment of its functions. (art 155).

The State Council has the following competencies:

- Adopts the National Strategy for the Prevention of Child Offense,
- Approves programs and annual plans for the implementation of the program,

- Adopts a Regulation for its work,
- Proposes funds in the budget calculation proposal of the Ministry of Justice necessary for his work,
- Provides initiatives to improve legal solutions and opinions on draft laws that are important for the protection of children's rights and prevention of child offenses,
- Launches initiatives for broader recognition of citizens with children's rights and debates on healthy families, protection of children from narcotics, alcoholism and other addiction diseases, education and education issues, public relations media and for other factors that influence the prevention of child offenses,
- Initiates research and studies on child offense problems,
- Cooperates with international organizations and bodies engaged in the protection of children's rights and prevention of child delinquency,
- Prepares annual reports on its work and situation in the area of children's rights and child delinquency, which it submits to the Parliament and the Government of the Republic of Macedonia, the Judicial Council and the Supreme Court of the Republic of Macedonia – who are obliged to review and take appropriate measures and activities in accordance with their competences (art. 156)

The Council of Municipalities, Municipalities of the City of Skopje and the City of Skopje appoints the Municipal Council and the City Council of Skopje to Prevent Child Delinquency. (art.158,1.) Municipal councils adopt annual programs for their work approved by municipal councils and the City Council of Skopje, regulations for its work in the region of the municipality and the city of Skopje, perform work to monitor the situation, set up an initiative for upgrading them and developing programs to involve the local community in preventing child delinquency and treating perpetrators of actions that are foreseen as a criminal offense and misdemeanor by law. The municipal councils, at least once a year, inform the council of the municipality or the city of Skopje and the State Council for Prevention of Child Delinquency. (art.159).

#### **National Strategy for Juvenile Prevention (2010-2020)**

This is the first strategy in the Republic of Macedonia aimed at determining the strategic guidelines and priorities for preventing juvenile delinquency and has been adopted by the State Council for the Prevention of Juvenile Delinquency. (Golomeova, 2013)<sup>1</sup>

The integral part of this Strategy are: (National Strategy for Juvenile Prevention (2010-2020) of R.M.)

- Prevention of juvenile delinquency is an essential part of prevention of crime in society;
- The successful prevention of juvenile delinquency requires efforts by the whole society to ensure a harmonious development of adolescents, with respect and promotion of their personality since the earliest childhood;
- Young people should have an active role in society and should be considered as subjects, and not as passive objects of socialization or control;
- The focus of any preventive program should be the well-being of young people from their early childhood;
- Policies and measures of prevention should avoid stigmatization and punishment of children who with their behavior do not cause serious harm to their own development or development of others, but rather endeavor to understand the problem and accept the responsibility for the child;
- Prevention services and programs should be developed locally and supported by the community.

The main challenges and strategic guidelines identified in this

Strategy refer to the primary, secondary and tertiary

prevention. Namely, the objectives of this Strategy are to introduce programs for prevention of juvenile delinquency, coordination, organization and multidisciplinary approach to this issue, assessing and assessing factors that increase

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<sup>1</sup> <http://eprints.ugd.edu.mk/10409/1/MAGISTERSKA%20PDF.pdf>

juvenile delinquency, as well as intensive international cooperation in the field of prevention of juvenile delinquency. (Golomeova, 2013)

### Analysis of some social factors as preventive measures for youth crime:

The following presented results are based in the Survey made on September 2017 in three secondary schools in Macedonia, with 120 pupils ages 15-18 years old. The nature of the questions of the questionnaire were formulated based on the assessment of the impact of some social factors that can most often influence the appearance of the deviant and criminal actions among young people. Also in the other hand the same factors can appear as preventive measures on the criminal behavior of the young people.

The focus of the questions was on the following factors:

The influence of the educational system, respectively how much widespread violence in schools is and how much endangered / protected are students at school!

What preventive measures do schools take to prevent deviant actions of young people?

The influence of the family on young people.

The influence of the circle of people with whom young people are associated,

The free time (after school activities)

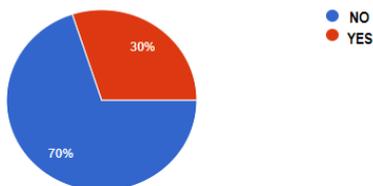
Media mass (TV, Internet etc.)

### Here are some results from the survey:

#### The School effect on preventing crime:

Have you ever listened to any lecture/ project during your studies on preventing youth crime ?

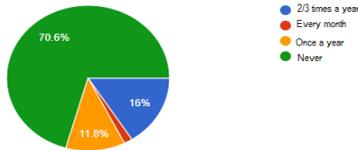
120 responses



On the question on have the pupils have attended to any lecture on how to prevent crime, most of them (70%) have replies with No, and only 30% have answered Yes. It was obvious that only in one of the three schools the study was made, there haw been some programs on informing the children on how to prevent crime. And it, was reported that there have been some police officers who have held lectures to the pupils on what behaviors are crimes based on the countries legislation and some other aspects on how to prevent these acts. But, the negative indicator is that in the most cases, the respondents were not informed about this topic!

## How often you have meetings with the pedagogue / psychologist of the school?

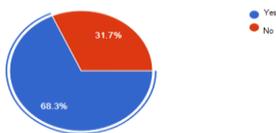
119 responses



The other question about how often do the students have meetings/consultations with the competent persons in their schools for giving to them advices and support, as the pedagogue and the psychologist, the answers were desperate. 70.6% of the students answered that they never meet these personnel of the school, and the others answered with once a year or 2/3 times a year. This results are also desperate, because there is indisputable the role of the pedagogue and the psychologist in the schools. Having in consider the age of the students in secondary schools it is unjustified the passivity of these persons on doing/not doing their job!

## Do you think it should be increased the security in the school?

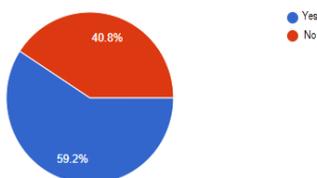
120 responses



On the question did the students think that it should be increased the level of security in their school, we came with results of 68.3% who said Yes, and 31.7% who said No. It means that most of the students do not feel safe in their schools. The schools should take more strict and rigorous measures on protecting their students and making them feel same during their stay there.

## Do you have too much free time after finishing your classes?

120 responses

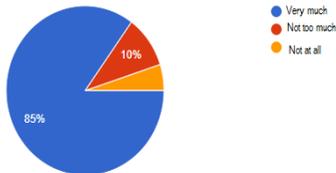


On the question on did the students consider that they have too much free time after finishing the classes, we came with results that 59.2 % answered Yes, and the others consider that they do not have much free time after school. This question is made with the aim to get answers and be confirmed our hypothesis that in Macedonia the children have much free time, and that this is one of the factors that indicates the appearance of the deviant acts of the young people. There are not such opportunities for free activities where the youth can spend the time after schooling. For ex. The students who finish their classes about 13.30 p.m. they do not really have some opportunities offered by the state or the school where they can be

involved. And, that is why it often happens they the young people spend their free time on coffee bars and can be involved on negative/criminal acts where they meet adults who can easily manipulate and incriminate them in different acts, like drug trafficking, alcohol usage, theft, group fighting etc.!

### How much influence does your family has on your behavior?

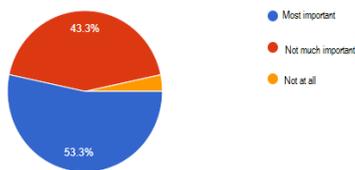
120 responses



On the question about the influence of the family on the behavior of the youth people, it is again proved that the family is the main factor in preventing the delinquency of juveniles. That is because 85% of the students answered that their family has very much influence on their behavior, and the other less of them said that the family has not too much influence on them and the smallest number of the respondents answered that the family does not have influence at all on them!

### How much important is what your friends think about you/vour behavior?

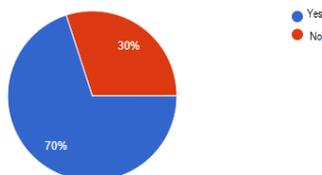
120 responses



On the question about what the friends opinion means to the young people, 53% answered that it is most important what their friends think about them or their behavior. 43.3% answered that it is not much important their friend opinion and only 3.4% of them do not care of the friends opinion. It is proved that in most cases the delinquent acts are presented in the young population only because they are part of one or another group in their school!

### Can you get inspired on making a negative behavior from the Internet information you get?

120 responses



On the question about the influence of the Internet information on the young people's behavior, we got 70% positive answers that Internet can be an inspirational/motivational tool for manifesting a negative act. Only 30% of

**the respondent said that they can not be inspired from the Internet on acting negatively, respectively to commit any delinquent or criminal act. This is also another indicator that Internet can be often the most preventive tool for youth crimes or the opposite-provocative factor for criminal acts.**

### **Conclusion**

Preventing youth crime can be done only if there a cooperation between all the competent state institutions on improving the social conditions for the youth people's welfare. It is better to prevent rather than to correct and in Macedonia there has to be much done on more aspects for reducing and preventing youth crime.

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## Technical Terms Generated upon Meaning of Words Indicating Kitchenware or Utensils

**Dr. Gani Pllana**

University of Prishtina "Hasan Prishtina" Pristina, Republic of Kosovo

Faculty of Mechanical Engineering

**Prof. assoc. Sadete Pllana**

University of Prishtina "Hasan Prishtina" Pristina, Republic of Kosovo

Economy Faculty

### Abstract

The process of generating the general lexicon into terms, also named process of terminology, relates to the semantic source of the word. This process enriches terminology not only on the level of the form, by embedding in a specified terminological system, but, mainly in that of the content/substance, supplementing it with concepts that maintain links with its base meaning (with the general language). *The word thus appears as a bridge between the general and the terminological lexicon*, such as: *knife*, *sieve* (common words) and terms: *knife*<sub>1</sub> (filet carver) (mechanic); *knife*<sub>2</sub> (engraver) (mechanic); *sieve*<sub>1</sub> (vibratory) (construction, mechanic), *sieve*<sub>2</sub> (mortar) (construction). *Terminology as a special lexical subsystem in itself enters into a relationship with the layers of the general language lexicon and exchanges with them, by borrowing some of them and by utilizing it for its needs. This lexicon, deriving from outside of the terminology, consists of lexical units that enter into it in an invariable form, but with modified content; by meeting the needs of the terminological systems with terms. In this paper, we present groups of terms formed on the basis of the meanings of common words, presented in the 1980 Glossary and related to different elements of ordinary life, such as tools and kitchen appliances.*

**Keywords:** common words, technical terms, kitchen appliances, terminology.

### Introduction

The process of *generating the general lexicon* in terms, also named the process of terminology, relates to the semantic source of the word. This process enriches terminology not only on the level of the form, by embedding in a specified terminological system, but, mainly in that of the content/substance, supplementing it with concepts that maintain links with its base meaning (with the general language). The word thus appears as a bridge between the general and the terminological lexicon, such as: *fork*<sub>1</sub> (*cardan shaft*)(*mech.*), *fork*<sub>2</sub> (*jointer*)(*mech.*), *fork*<sub>3</sub> (*instructional*) (*mech. constr.*) etc. On the other hand, these units, passing from one field of knowledge to another, enrich them with different conceptual content, following to an anew terminology process of the unit, such as: *plate*<sub>1</sub> (*wavy* (mech.), *plate*<sub>2</sub> (*cutter*) (mech.), *plate*<sub>3</sub> (*scales pan*) (mech.).

Although as far as the form concerns, the terminological systems get overloaded with the same form in term of content, the units subject of terminology process increase the common conceptual basis of words and terms, thus reinforcing the interaction ability of the terms between each other concerning the various fields of knowledge. E. Vyster (Eugen Wüster)<sup>1</sup>, concerning the occurrence, points out: "*The expression with one sign of the meanings of the different facilitates their connection with each other and alleviates the collaboration of the specialists of the fields close to each other*", for instance room: *room* (*of gases*)(construction, mechanic, military); *rrënjë*<sub>1</sub> (bot., math., chem., mech., med.) etc..

### The process of terminology

A numerous elaborations were written in regard of the process of terminology, by elaborating about the location and role of common words of multiple meaning such as *point*, *tooth*, *head*, *foot*, *pocket* etc., for formation of the terminology.

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<sup>1</sup> E. Wüster, "Einführung in die allgemeine Terminologielehre und terminologische Lexikographie", 3. Auflage. Romanistischer Verlag, Bonn, 1991

Elaborating the matter the formation of new terminology, A. Duro in the project "Entrance and issuance of the terms in a language"<sup>1</sup>, underlines that the term enters easier in use, *when becoming a term from a common word, and used in its specialized meaning in a certain field of knowledge or human activity*. The author demonstrates examples the words generated in terms such as *head* (bolt head), *tooth* (wheel), *krah* (lever), *window* (of evacuation): etc. In the field of linguistics Sh. Rrokaj and V. Bello<sup>2</sup>, apart from elaboration of general problems of linguistic terminology, in addition of the general problems addressing of linguistic terminology, the attention is paid as well to the matter of terminology process, noting out that "the linguistic terminology system built in this way relies on the Albanian language texture, facilitating its formation.

The terminology process, as a process of creating a terminology macro-system based on the entry of words into this microsystem, functioning as terms, as well as glossology, as a word-raising process in the term, both together can be considered within general framework of the semantic development of the word, where the word consists the basis, from this point of view always *comes primarily before the term*. Particular importance is given to the functioning of these processes in the semantic structure of the word, which is reflected in glossology, terminology, extermination, and all the complex processes of semantic development of each word of the language. This is very important when studying the semantics of term in the light of the meaningful development of words.

Thereby, we can provide as examples *dish* and *sieve*, and the word "dish" is of a special terminological character: **DISH**, ~ n. 1. Curved line container of clay, glass, metallic, plastic etc, with raised edges of different sizes and shapes, used for keeping liquids and other substances as powdered or grains etc. *Lab dishes. Communication dishes. phys.chem. Dish drainer. Clay (soil) dishes. Copper (zinc, aluminum) dishes. Porcelain dishes. Plastic dishes. Kitchen dishes. Household dishes. Dishes shelf. Dishes store. Wash up the dishes.* the word "sieve" is of special terminological character but connected in a disaggregated form with a series of terminological concepts, presented by relevant word-combination terms: **SIEVE**, ~ n, 1. A tool consisting of a thin silk fabric, or densely metallic net attached to a wooden circle used to separate bran from flour or the substance. *Silk sieve (wire). Sieve with frequent holes (impenetrable, penetrable).* **2. Tech. Metallic sheet or netting with frequent holes used to separate something in equipment or mechanism; metal netting through which the sand pass through, mortar etc. to get cleaned.** *Sieves of threshing machine. The sieve of mortar. The coffee machine sieve. Take off (change) the sieve. Clean the sieves.*

Given that they are common words generated in terms, for the words it is much easier to widely enter in language use and approaching to the general lexicology of the language. The characteristic of the Albanian language is that these terms, upon entering the terminology lexicon, have the capability to get in the wider sense of the word formation.

### Extracts of terminology process displayed in philological dictionary

The meanings of terms generating from the meanings of common words are reflected in the explanatory dictionaries of Albanian language in the semantic structures of their words. The study of these words meanings, when appearing as terms such as *foot* (word) and *foot* (term), which are singled out as such during their use in the relevant field of knowledge, gives the opportunity to consider this lexical mediation in relation to the general lexicon, with other terminology lexicon groups, as well as with cases of functioning in the discourse practice of each field<sup>3</sup>.

The elaboration that has been conducted to the various groups of terms in the explanatory dictionaries, it is noted that the terminology of the technical terminology lexicon with the general language from one vocabulary to the other, starting from the vocabulary of 1954 until the one of 1980, in terms of semantic-lexical progress is becoming more complex, however, from time to time even better distinguished between each other. The phenomena of complexity is related to the addition of new terminological concepts (concepts), linked upon a sign, which is related to the terminology process phenomena, where the latter also emerges its negative side (the concepts are increased, though the signs remain the same one), as well as with the increase of the new terms created through term-formation phase, where signs are added concurrently with concepts, in which occasion the signs actually enrich terminology systems.

Words indicating kitchenware or utensils used **with specialized meaning**

<sup>1</sup> A. Duro, "Lindja dhe përhapja e termave në gjuhë", në "GJUHA JONË", nr. 2, Tiranë, 1981, f. 40-50.

<sup>2</sup> Sh. Rrokaj, V. Bello, "Mbi domosdoshmërinë e një fjalisë të termave të gjuhësisë në gjuhën tonë", Konferencë shkencore "GJENDJA DHE ZHVILLIMI I TERMINOLOGJISË SHQIPE-PROBLEME DHE DETYRA", Tiranë, 2009, f. 168-178.

<sup>3</sup> A. Duro, "Terminologjia si sistem", Panteon, Tiranë, 2001, f. 21.

In the same manner words indicating kitchenware or utensils are being used in relation to their specialized meaning to indicate parts of mechanics, construction and electricity. More precisely let's check closely as to how these words that indicate kitchenware or utensils arise in specialized terms in the field of mechanics, construction and electricity.



For example, in case of the **fork** meaning (1) A small utensil with long handle consisting of several prongs like a pitchfork used when eating to pick up pieces of meat, cheese, fruits etc. *Plated fork, small forks (for desserts, for appetizers). Fork's prongs. Pick up (eat, take) with fork. Stir the fork.* (2) Part of bicycle or motorcycle consisting of two side arms, at the bottom of which the front wheel is fastened.

Find below examples of common words indicating kitchenware, which through the process of terminology generate into words with of specialized meaning.

In the dictionary of 1980 <sup>1</sup>	In terminological dictionaries
<p><b>FORK</b>, ~ n. 1. A small utensil with long handle consisting of several prongs like a pitchfork used when eating to pick up pieces of meat, cheese, fruits etc. <i>Plated fork, small forks (for desserts, for appetizers). Fork's prongs. Pick up (eat, take) with fork. Stir the fork.</i></p> <p>2. Part of bicycle or motorcycle consisting of two side arms, at the bottom of which the front wheel is fastened.</p>	<p>fork<sub>1</sub> (Cardan shaft) (mech.)</p> <p>fork<sub>2</sub> (jointer) (mech.)</p> <p>fork<sub>3</sub> (instructional) (mech. constr.)</p>
<p><b>SPOON</b>, ~ n. 1. A metallic or wooden gadget, consisting of a small bowl of oval shape and with a long handle used for eating dish or other foods especially liquids; quantity of food or other substance such gadget may contain. <i>Big spoon ladle, dipper. Aluminum (wooden) spoon.</i></p> <p>Usually a metallic utensil, with a part like a bowl or spatula with a handle or extension which is used to pick up something, to stir various substances etc. <i>Spoon for coal (ember) fire shovel. Mortar spoon, trowel.</i></p>	<p>spoon<sub>1</sub> (mortar) (constr.)</p> <p>trowel</p> <p>spoon<sub>2</sub> (excavator) (mech.)</p> <p>excavator bucket</p> <p>spoon<sub>3</sub> (formation) (met.)</p>
<p><b>KNIFE</b>-knives, ~ n. 1. A small utensils with a long metallic cutting edge with a wooden or another material used for cutting bread, meat, fruits, vegetables, used in medicine etc. <i>Sharp knife. Bread knife. Tobacco knife. Surgical knife. Knife with a tip. Double cutting edge knife. Serrated edge knife.</i></p> <p>Metallic and sharp part of a gadget, utensil etc. which is used for cutting or to</p>	<p>knife<sub>1</sub> (filet carver) (mech.)</p> <p>knife<sub>2</sub> (engraver) (mech.)</p>

<sup>1</sup> Fjalor i gjuhës së sotme shqipe", Tiranë, 1980.

<p>mince something, for polishing or smoothing a surface of something. <i>Round knife. Cutting (chopping) knife. Carpentry knife. Tornos knife. Plow knife/bladder. Knife/bladder of grinding machine.</i></p>	
<p>DISH-S, ~ n. 1. Curved line container of clay, glass, metallic, plastic etc, with raised edges of different sizes and shapes, used for keeping liquids and other substances as powdered or grains etc. Lab dishes. Communication dishes. phys.chem. Dish drainer. Clay (soil) dishes. Copper (zinc, aluminum) dishes. Porcelain dishes. Plastic dishes. Kitchen dishes. Household dishes. Dishes shelf. Dishes stare. Wash up the dishes.</p>	<p>dish<sub>1</sub> (drainer) (agric.) dish<sub>2</sub> (condenser) (mech.)</p>
<p>PLATE, ~ n. 1. Small container made of porcelain, zinc, aluminum etc. round in shape, deep or shallow curved line, of flattened bottom, used to set in it the food we eat etc.; an amount of food such a plate may hold. <i>Deep plates (shallow, flat). Food plate.</i> 2. Flat round plate as a part of something and serves for various tasks. <i>Scales pans. The plate of a cutter.</i></p>	<p>plate<sub>1</sub> (wavy (mech.) plate<sub>2</sub> (cutter) (mech.) plate<sub>3</sub> (scales pan) (mech.)</p>
<p>GLASS, ~ n. 1. Deep container made from glass, crystal etc, mainly of cylindrical shape with no handle, used for drinking water, wine etc.; a similar small container, often with a stem, used for various strong beverages (for brandy, cognac etc); as to the amount of water or beverages the glass contains. Small (large) glass. <i>Glasses made from glass (crystal). Water (wine, brandy, beer) glass.</i></p>	<p>glass<sub>1</sub> (filter) (mech., constr.) glass<sub>2</sub> (piston) (mech.) glass<sub>3</sub> (tube) (constr. mech.)</p>
<p>FUNNEL, ~ n. 1. A small cone-shaped container with a thin long tube at the apex, used for pouring liquid through it into another bottle or other containers with narrow neck. Funnel of tin (glass, immeasurable). Funnel for brandy (oil). Pouring through funnel. Funnel in shape. 2. Part of a machinery or a mechanism, cone-shaped used for cleaning the oils or for pouring something into another container; a cone-shaped item used for different purposes. <i>Separating funnel. Grinder's mill funnel. Funnel of multiplication, a cone-shape tin filled with soil placed on the branches of some fruit-bearing trees to emerge roots.</i></p>	<p>funnel<sub>1</sub> (pouring) (mech.) funnel<sub>2</sub> (loading) (mech. constr.)</p>
<p>LID, COVER ~n. 1. The upper part that covers a container, a box etc.; protective cover from metal, wood etc. Steel (wooden) lid. <i>The lid of well. The lid of container (pot). The jars lids.</i> 5. Stone tile used for paving the yard, dooryard etc. Yard (dooryard) with covers/lids. 6. Each of the two graved woods placed on the front and back part of the cart's bed.</p>	<p>lid/cover<sub>1</sub> (bearing) (mech.) lid/cover<sub>2</sub> (wells) (constr.)</p>
<p>CAULDRON/BOILER, ~n. 1. A large round metallic container with two handles (usually made from copper), used for boiling water, washing laundry, cooking etc. 2. tech. Part of furnace, locomotive etc., consisting of a locked metallic container producing water steam or processing something in high temperature. <i>Locomotive's boiler. Vulcanization (distilling) boiler.</i></p>	<p>cauldron/boiler<sub>1</sub> (steam) (mech.) cauldron/boiler<sub>2</sub> (mortar) (constr.)</p>
<p>SIEVE, ~ n. 1. A tool consisting of a thin silk fabric, or densely metallic net attached to a wooden circle used to separate bran from flour or the substance. Silk sieve (wire). Sieve with frequent holes (impenetrable, penetrable). 2. Tech. Metallic sheet or netting with frequent holes used to separate something in equipment or mechanism; metal netting through which the sand pass through, mortar etc. to get cleaned. <i>Sieves of threshing machine. The sieve of mortar, The coffee machine sieve. Take off (change) the sieve. Clean the sieves.</i></p>	<p>sieve<sub>1</sub> (threshing) (constr. mech.) sieve<sub>2</sub> (mortar) (constr.)</p>
<p>SIFT, ~ n. 1. A tool consisting usually made from a piece of tin or holey perforated leather attached to a wooden circle used to separate cereals from bagasse and other dirtiness. <i>Deep sift. Mechanic sift (rotary, vibrating sift). Cylindrical sift. Wheat (corn) sifts. The circle of the sift.</i></p>	<p>sift<sub>1</sub> (vibrating) (mech.) sift<sub>2</sub> (wheat) (agric.)</p>

For instance, in case of word **plate**, with meaning (1) "small container made of porcelain, zinc, aluminum etc. round in shape, deep or shallow curved line, of flattened bottom, used to set in it the food we eat" etc.; as to amount of food such a plate may hold. *Deep plates (shallow, flat). Food plate.* (2) Flat round plate as a part of something and serves for various tasks. *Scales pans. The plate of a cutter, etc.*

## Conclusion

The meanings of terms generating from the meanings of common words are presented in the explanatory dictionaries of the Albanian language in the semantic structures of their words, elaborated further by the terminology dictionaries and terminology lecture, written and spoken. The study of these meanings of words when appearing as terms, which are singled out as such during use in the relevant field of knowledge, provides an opportunity to examine this lexical mediation in relation to the general lexicon, with other terminology lexicons, as well as cases of functioning in the teaching practice of each field.

Elaborating further according to the Albanian dictionary (1980), the meanings of words that serve as the basis for terms other new meanings can be evidenced (discovered) compared with the meanings that appear in the semantic structure of the word.

Further elaboration of word groups, the meanings of which serve to create terms in the various fields of knowledge, helps in the work of compiling both terminology dictionaries and the explanatory language dictionaries. Explicitly, this helps for a better analytical differentiation of meanings, as well as for the determination of the fairer and more motivated boundaries between one-word terms and word-combination, whereby the latter ones, as the basis have elaboration of multiple meaning of, as pointed out above the words such *knife*, *dish*, *plate* etc.

Given that they are common words generated in terms, for the words it is much easier to widely enter in language use and approaching to the general lexicology of the language. The characteristic of the Albanian language is that these terms, upon entering the terminology lexicon, have the capability to get in the wider sense of the word formation.

Words indicating kitchenware or utensils are widely spread during the process of transformation from words of common meaning in words with specialized use in various fields of science and technology. The concepts these words indicate fall into the system of concepts of the certain field, extending and enriching further the links between them.

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- Explanation: constr.=construction; mech.=mechanic; agr.=agriculture

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## The Optional Protocol to the International Covenant on Economic, Social and Cultural Rights

Ayşe Cebecioglu Haldız

### Abstract

An Optional Protocol to the International Covenant on Economic, Social and Cultural Rights (ICESCR) was adopted by the UN General Assembly on 10 December 2008 and it came into force on 5 May 2013. The protocol gives individuals the right to raise complaints about violations of their rights which are enshrined by the covenant. Although, an optional protocol regulating the complaint procedure for its sister treaty, the International Covenant on Civil and Political Rights, was entered into force in 1976, it was postponed for ICESCR until 2013 because of the historic debate discussing whether these rights are justiciable or not. This division between the treaties left the protection of the ESCR in the background. This essay will analyse the extent to which the protocol resolved the historical concerns about the protection of economic, social and cultural rights under international human rights law.

**Keywords:** Protocol, Rights, Social, Cultural

### Introduction

The General Assembly of United Nations adopted The Universal Declaration of Human Rights, which encapsulates both social (economic, social and cultural) and liberal (civil and political) human rights, in 1948 when the world was divided into two parts as Western and Eastern blocks as a result of the Cold War.<sup>1</sup> After the adoption of the declaration, the drafting process started for a treaty that would provide an international legal protection for human rights. At the beginning of the drafting process, it was intended to prepare a single draft treaty protecting all basic human rights of everyone at the same level. But there were debates on the nature of the rights, their extends, the possible control mechanisms and the types of obligations and duties for states.<sup>2</sup> Accordingly, while some supporting an integrated approach to the human rights, the majority were in favor of a distinction between the social and the liberal human rights.

According to Langford, these debates flared up with the beginning of the Cold War depending on different ideological and political ideas. In other words, division that the Cold War brought about was also reflected in the human rights area as in many parts of life.<sup>3</sup> For instance, while the Western countries were supporting the civil and political rights, the Eastern Block gave more importance to the social and economic (ESC) rights. Accordingly, two separate covenants had been drafted to protect these rights under international human rights law; *International Covenant on Economic, Social and Cultural Rights* (ICESCR) and *the International Covenant on Civil and Political Rights* (ICCPR).

At first glance, it can be said that both blocks were the victors of this argument because both of them reached a treaty regulating the rights that they found more significant. However, there were significant differences between the two covenants as they had different natures. First of all, the obtainment of the rights for ICESCR was made subject to progressive realization while immediate realization was approved for the rights regulated by its sister treaty. Furthermore, while the ICCPR was calling states to take domestic judicial measures, the ICESCR ambiguously referred to legal and other measures.<sup>4</sup> The differences between them were not limited to these; different monitoring mechanisms were also

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1 'The Universal Declaration of Human Rights: History of the Document' (United Nations )

<<http://www.un.org/en/documents/udhr/history.shtml>> accessed 25.01.2014

2 Marco Odello & Francesco Seatzu, *The UN Committee on Economic, Social and Cultural Rights* (1st, Routledge, USA 2013) 5.

3 Malcolm Langford, "An Introduction to the Optional Protocol to the International Covenant on Economic Social and Cultural Rights [2009] *Nordic Journal of Human Rights*, vol.27, issue 1, p. 3-4.

4 *ibid* 4

foreseen for two covenants and finally, while an optional protocol regulating the individual complaints for the ICCPR entered into force in 1976, a similar protocol for its sister treaty (ICESCR) had been postponed until 2013.

All these differences between the two treaties naturally led people to believe that the economic, social and cultural rights were less protected than the civil and political rights under international human rights law. It can be claimed that the famous 'three generations theory' of Karel Vasak, which actually categorizes the human rights into three groups according to their historical evolution,<sup>1</sup> has contributed to this belief by creating an illusory hierarchy between the rights.<sup>2</sup> However, an optional protocol regulating the complaint process was seen as a remedy to close the gap between the first two generations, civil-political rights and social-economic rights, and entered into force on 5 May 2013.

This essay discusses how the Optional Protocol to the ICESCR helped to close the gap between the ICCPR and the ICESCR in terms of their protection under international human rights law. First of all, the debates on the nature and the content of economic, social and cultural rights will be introduced. Then, the birth process of the Optional Protocol will be presented by using the works of the Open-Ended Working Group, which was assigned to prepare the draft of the protocol. Finally, it will be discussed whether the protocol can become a remedy to eliminate the imbalance between the sister covenants in terms of equal protection of human rights.

## **I. The Brief Outline Of The ICESCR**

Before examining the debates on the ESC rights, briefly looking at the ICESCR will be useful. The ICESCR was adopted on 16 December 1966 to promote better standards of life and social progress for everyone without discrimination. Since it is an international treaty, it creates legally binding obligations for state parties. The supervisory body of the covenant is the Committee on Economic, Social and Cultural Rights which was established on 29 May 1985.<sup>3</sup> As of July 2008, 161 states are the parties to the ICESCR<sup>4</sup> and some of the rights envisaged by the covenant are; the right to work, the right to form and join trade unions and the right to strike and the right to social security including social insurance.<sup>5</sup>

## **II. The Debates On The Nature Of The Economic, Social And Cultural Rights**

The debates, which started during the drafting process of the Universal Declaration of Human Rights and led to the creation of the two distinct covenants on the protection of human rights, are mainly based on the justiciability of the ESCR. The main concerns of these debates, which are mostly emphasized by the proponents of distinction, can be summarized under three titles: the vague character of the ESCR which are limited to positive action, the institutional capabilities and the legitimacy concerns.

### **A. Vague Character and Being Limited to Positive Action**

One of the key issues, which is frequently recurs to emphasize the differences between the CPR and the ESCR, is the vague character of the social rights which are limited to positive action. According to the proponents of the distinction, the civil and political rights have more absolute characteristics than the social rights to be enforceable and justiciable in a court. It can be claimed that the social rights are mostly uncertain, but there are also several civil and political rights which are more vague and open-texture than the social rights. For instance, while the right to liberty has an uncertain characteristic, the right to education has a more precise frame by specifically stating that the primary education is compulsory and free.<sup>6</sup>

In addition to being vague, the social rights are also compared with the civil and political rights in terms of state action. It is argued that the protection of civil and political rights is easier than that of the social rights because it requires negative

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<sup>5</sup>Definitions and Classifications: First, Second and Third Generations Rights' (Icelandic Human Rights Centre )

<<http://www.humanrights.is/en/human-rights-education-project/human-rights-concepts-ideas-and-fora/part-i-the-concept-of-human-rights/definitions-and-classifications>> accessed 27.01.2014.

<sup>2</sup>'A Hierarchy Of Rights Protection' (Law Teacher 2013) <<http://www.lawteacher.net/free-law-essays/administrative-law/a-hierarchy-of-rights-protection-administrative-law-essay.php>> accessed 29.04.2015

<sup>3</sup>'Background Information on the ICESCR' (ESCR-Net 'International Network for Economic, Social & Cultural Rights' ) <<http://www.escr-net.org/docs/i/425251>> accessed 01.02.2014.

<sup>4</sup>'The International Covenant on Economic, Social and Cultural Rights' (United Nations Treaty Collection

2014)<[https://treaties.un.org/Pages/ViewDetails.aspx?src=TREATY&mtdsg\\_no=IV-3&chapter=4&lang=en](https://treaties.un.org/Pages/ViewDetails.aspx?src=TREATY&mtdsg_no=IV-3&chapter=4&lang=en)> accessed 01.02.2014.

<sup>5</sup> Background Information on the ICESCR, (n 6 ).

<sup>6</sup> Aoife Nolan, Bruce Porter, Malcolm Langford, 'The Justiciability of the Economic, Social and Cultural Rights: An Updated Appraisal' [2007] CHRJ Working Paper, No. 15, p. 9.

state action while the social rights need positive state action in order to be protected.<sup>1</sup> In other words, as Rubin stated, 'it is easier to tell governments that they shall not throw persons in jail without a fair trial than they shall guarantee even minimum but sufficient standards of living'.<sup>2</sup> From this perspective, ESCR can not be justiciable in the courts because they are regarded as not specific legal rights but programmatic guidelines for national governmental policies where the governments have to take positive measures and actions to enforce and protect them.<sup>3</sup> Moreover, as taking positive actions need money, poor states cannot afford to implement and protect these rights and so cannot be tried in a court in case of violation of these rights.

However, according to Karan, this approach ignores that the CPR may also require positive actions. For instance, for the implementation of the right to a fair trial (art 14 of the ICCPR), undoubtedly, the governments have to avoid unfair trial. However, in addition to this negative obligation, several positive obligations also arise, such as development of the judicial bodies or the training of the members of the judiciary.<sup>4</sup> Another response to the arguments of the distinction supporters stems from the claim that the protection of the CPR is irrelevant without the protection of the ESCR. To exemplify this argument, it can be said that without the protection of the right to adequate food (art 11 (2) of ICESCR) or the right to health (art. 12 of ICESCR), the protection of the right to life (art. 6 of ICCPR) would be irrelevant.

## **B. Institutional Capabilities**

The second objection to the justiciability of the ESCR is that there is not a competent forum to deal with the specific and social questions. In other words, international authorities could not have enough knowledge about the local conditions of the states. For instance, when somebody lodges a complaint about the violation of the right to education, the decision makers should have the information about the education system in that state. Relevant statistical data or the percentage of the budget, that is devoted to education should be known by them in order to decide whether the state meets its responsibility of fulfillment. So, it is claimed that, it is almost impossible for the Committee on Economic, Social and Cultural Rights to collect required data for each specific case while there are 161 states parties to the covenant.<sup>5</sup>

Nonetheless, although this is a reasonable objection, it is not well-founded because the committee can work with experts, lawyers, national courts and NGOs to collect the required data. Additionally, the state responsibility for the implementation of the human rights is not restricted to fulfillment, they also have obligations to respect and protect these rights. In other words, the implementation of human rights is not only related to using maximum resources and adopting appropriate measures, but it is also about respecting and protecting. States have to respect human rights by refraining from interfering with the enjoyment of the rights and have to prevent third-parties from interfering with the enjoyment of the rights.<sup>6</sup> Therefore, the justiciability of the ESCR must be assessed in light of the three state obligations.

The decision of the African Commission on Human and People's Rights in Ogoni Case can be an excellent example to support this argument. In 1996, the African Commission received a complaint about the violation of several human rights of the Ogoni people in Nigeria. The complaint claimed that the government of Nigeria directly participated in irresponsible oil development practices in the Ogoni region. According to the complaint, the state oil company of Nigeria built a partnership with Shell Petroleum Development Company whose activities caused pollution and health problems in Ogoni Region. The complaint especially emphasised serious contamination of the soil, water and air; destruction of the homes; burning of the crops and killing of farm animals, which were all directly relevant to right to health, a healthy environment, housing and food. It was also argued that the Nigerian Government neither checked the activities of the petroleum company nor took measures for the security of local people. Besides, the government did not provide the people of the region with the information concerning the danger created by the petroleum company. Moreover, it was also alleged that the security

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1 Odello & Statzu ( n 2 ) 6.

2 Seymour J. Rubin, 'Economic and Social Human Rights and the New International Economic Order' [1986] American University International Law Review, vol.1, issue 1, p. 82.

3 Odello & Statzu ( n 2 ) 6.

4 Ulaş Karan, 'Sosyal Hakların Güçlendirilmesi Açısından Bir İmkan: 'Bütüncül Yaklaşım'( An Opporunity for Strenghtening Social Rights)' [2007] Amme İdaresi Dergisi, vol. 40, issue 3, p. 38.

5 Dr. Tawhida Ahmed, 'Seminar 5 of International Human Rights Module' 2013, University of Reading.

6 'Key Concepts on ESCRs - What are the Obligations of States on Economic, Social and Cultural Rights?'(United Nations Human Rights 2012) <<http://www.ohchr.org/EN/Issues/ESCR/Pages/WhataretheobligationsofStatesonESCR.aspx>> accessed 29.01.2014.

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forces of the government attacked, burnt and destroyed a number of Ogoni villages based on several pretexts. Finally, the government also failed to find the perpetrators of these attacks and punish them.<sup>1</sup>

The African Commission reached a decision in 2001 and found the Nigerian Government guilty of violations of economic, social and cultural rights enshrined in the African Charter.<sup>2</sup> Briefly, the commission stated that the Nigerian Government had violated the ESCR of the Ogoni people by failing to perform its three minimum responsibilities; firstly, the government directly participated in the activities damaging the soil, air and water and so, damaging the health of the local people.<sup>3</sup> So it failed to fulfill its obligation to *respect*. Secondly, the government did not protect its people from harms done by Shell Petroleum Company but instead used its security forces to facilitate the activities of the company.<sup>4</sup> Therefore, it failed to fulfill its obligation to *protect*. Finally, the government neither provided any information nor permitted studies to be undertaken regarding environmental and healthier risks caused by the activities of the oil company.<sup>5</sup> Hence, it also failed to perform its obligation to *fulfill*.

As seen in the Ogoni Case, the state obligation for the implementation of economic, social and cultural rights is not solely restricted to fulfillment. Indeed, in most of the cases, it encapsulates all three of them; respect, protect and fulfill. Therefore, approaching the issue only from the fulfillment argument and leaving the respect and the protect out of picture can mislead us in terms of the justiciability of the ESCR.

### C. Legitimacy Concerns

Concerns related to the legitimacy are another important part of the justiciability debates. It is frequently argued that management of the state budget and formulation of the social and economic policies are under the responsibility of the elected representatives of the public. Therefore, a judicial review on these issues is perceived as a threat to democracy and to the separation of powers by many democratic countries.<sup>6</sup>

First of all, it is undoubtedly necessary that there is a constitutional protection for the economic and social rights in democratic countries to limit or direct the actions of the elected parts of the government and to protect the rights of minority groups. In this regard, the social rights enhance democracy, not undermine it. However, the problem here is that in contrast to the civil and political rights, a judicial decision on the social rights can have financial consequences which is administrated by the elected part of the government. So, it is claimed that this kind of decision can distort the historical roles of the executive branch and legislative power and it can also distort the traditional balance between the separate powers (the legislature, the executive and the judiciary).<sup>7</sup>

Although the separation of power is a significant objection to the justiciability of the social rights, it should be considered with the principle of the rule of law. Under the rule of law principle, the national courts must ensure that all rights have an appropriate and effective remedy and also ensure that the state's conduct is consistent with its obligation to respect these rights.<sup>8</sup>

### III. The Birth Of The Optional Protocol To The International Covenant On Economic, Social And Cultural Rights

"An Optional Protocol is a legal instrument that supplements an international treaty. The term 'optional' signals that such instruments do not automatically bind states parties to the original treaty, but are subject to independent ratification." Under the UN human rights system there are several protocols regulating the individual complaint procedures. These protocols enable the individuals to bring a complaint to the treaty bodies authorised to supervise each human rights treaty. Currently,

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1 Fons Coomans, 'The Ogoni Case before the African Commission on Human and Peoples' Rights' [2003] International and Comparative Law Quarterly, vol.52, issue 03, p. 749-50.

2 Shira Stanton, 'Human Rights Abuses in Nigeria: "Ogoni 9" Trial against Shell to Begin April 27 in New York' (Centre for Economic and Social Rights 2009) <<http://cesr.org/article.php?id=340>> accessed 29.01.2014.

3 The Secretary of the African Commission on Human and Peoples' Rights, ' (Centre for Economic and Social Rights ) <<http://cesr.org/downloads/nigeriapetition.pdf>> accessed 29.01.2014.

4 *ibid.*

5 *ibid.*

6 Langford, ( n 3 ) 13.

7 Nolan, Porter, Langford, ( n 10 ) 12.

8 CESCR General Comment No. 9, The Domestic Application of the Covenant, (Nineteenth Session, 1998), U.N. Doc. E/C.12/1998/24 (1998), para. 14).

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the number of human rights treaties having an optional protocol that enables the treaty body to receive complaints reached to four after the addition of the International Covenant on Economic, Social and Cultural Rights.<sup>1</sup>

The adoption of the Optional Protocol to the ICESCR was a prolonged process which has officially started in 1990 with the discussions in the Committee on Economic, Social and Cultural Rights.<sup>2</sup> These discussions led the committee to draft an analytical paper to be present at the Vienna World Conference on Human Rights in 1993. In the conference, development of an optional protocol enabling it to hear individual complaints about the violations of the ESCR was encouraged. The Former Commission on Human Rights was also encouraged by the world conference to cooperate with the Committee to study the possibility of an optional protocol. Accordingly, the commission requested a report from the committee.<sup>3</sup> The report was presented to the commission with a draft of the optional protocol in 1996. It strongly argued that the protocol would help to realization of the social rights and also would encourage the governments to ensure more effective remedies for these rights.<sup>4</sup> However, the debates in the committee revealed that not all members agreed with the necessity of an optional protocol and not all proponents of the protocol agreed on the content.<sup>5</sup> Subsequently, the commission asked the members to comment on this draft, but only a few states responded this request in the following three years of the submission.<sup>6</sup>

After 2001 the process was revived again with the appointment of an independent expert. The expert, Professor Hatem Korane, presented two reports supporting the optional protocol to the Commission on Human Rights and recommended the commission to form a working-group to focus on the optional protocol. On his recommendation, an Open-Ended Working Group (OEWG) was established in 2002 and the first meeting of the group was held in 2004.<sup>7</sup> After that date, the group held four more meeting on the issues of the nature and the scope of state obligations under the ICESCR; the justiciability of the ESCR and the benefits of an optional protocol and its practicability.<sup>8</sup> However the main moot point of all five sessions of the group was the justiciability of the ESCR.

During all these five sessions while most of the representatives from the GRULAC (Latin America and Caribbean Group) and African Countries were clearly supporting the protocol the countries such as China, Egypt, India, Japan, Poland, UK and USA did not agree with them on the justiciability issue and stated their opinions against the OP. On the other hand European Countries mostly remained reluctant by supporting the reinforcement of the ECSR but not clearly backing up the protocol.<sup>9</sup>

Despite all objections, a draft protocol was able to occur after lengthy discussions and it was unanimously adopted by the General Assembly on the symbolic date of 10 December 2008 which was the 60th anniversary of the Universal Declaration of Human Rights.<sup>10</sup> Considering that the protocol was adopted unanimously, the attitude of the opposite states during the sessions can be interpreted as an effort to weaken the protocol and extend the process as much as possible. Langford explained this situation by stating: "Indeed some opposing States privately conceded that they knew the protocol would eventually materialise, but the strategy was to delay the process as long as possible".<sup>11</sup>

#### **IV. To WHAT Extent The Protocol Filled The Gap Between The ICESCR And The ICCPR**

Different approaches to the human rights did not only resulted in two distinct covenants but also resulted in two different enforcement mechanisms for each of them. While an optional protocol embracing a compulsory periodic reporting

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1 The Optional Protocol to the International Covenant on Economic, Social and Cultural Rights (1st, Geneva Academy, Geneva 2013) 3 (footnotes).

2 Arne Vandenberg & Wouter Vandenhole, 'The Optional Protocol to the International Covenant on Economic, Social and Cultural Rights: An Ex Ante Assessment of its Effectiveness in Light of the Drafting Process' [2010] Human Rights Law Review, vol. 5, issue 1, p. 207.

3 Claire Mahon, 'Progress at the Front: The Draft Optional Protocol to the International Covenant on Economic, Social and Cultural Rights' [2008] Human Rights Law Review, vol. 8, issue 4, p. 622.

4 Langford, (n 3) 6.

5 Mahon, (n 23) 622.

6 Vandenberg & Vandenhole, (n 26) 208.

7 Mahon, (n 23) 623.

8 *ibid.*

9 Vandenberg & Vandenhole, (n 22) 210-11.

10 *ibid.* 216-17.

11 Langford (n 3) 7.

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procedure, an interstate complaint procedure, a friendly settlement procedure as well as an individual complaint procedure was granted to the ICCPR, the ICESCR was only endowed with a periodic reporting procedure until 2008.<sup>1</sup>

The periodic reporting system is the only compulsory monitoring procedure for all state parties of the ICESCR. In other words, submitting a comprehensive report, within two years of the entry into force of the ICESCR and after that every five years is the only duty of the state party. The reports are about the measures taken by the state for the enjoyment of the ESCR and about the progress made in the enjoyment of these rights. These reports are examined by the state representatives and the Committee on Economic, Social and Cultural Rights in a meeting. Finally, the CESCR gives recommendations to the state and if it is needed, can arrange financial assistance from other organizations to assist with the realisation of the rights.<sup>2</sup> Therefore, only bequeathing the ICESCR with the periodic reporting system because of the traditional view regarding the ESCR as unjusticiable left the covenant weak and vulnerable in comparison with its sibling covenant. However, the significant changes brought by the optional protocol closed the historical gap between the sisters.<sup>3</sup>

First of all, the adoption of the optional protocol has changed the traditional view and persuaded the governments that social rights are also justiciable. By breaking down the sixty-years taboo, the protocol provided a very significant improvement in the protection of the ESCR. Accordingly, the first article of the OP guaranteed a complaint procedure for individuals.<sup>4</sup> This is the second improvement that is as important as breaking the taboo because as Kaime stated, to be effectively protected, individuals whose rights are guaranteed under the covenant must have an access to the protection mechanisms when their rights are violated or under the risk.<sup>5</sup> In spite of the discussions in the working group on the selective approach and thanks to the last-minute attack of Pakistan and Algeria to include the right to self determination, a comprehensive approach for all the rights enunciated in the covenant adopted by the OP.

In addition to its communication procedure, the OP-ICESCR includes two other mechanisms in its scope; inquiry procedure and inter-state complaint procedure. 'The inter-state complaints procedure, regulated by article 10, is an opt-in procedure'<sup>6</sup> which means that the two sides, the complaining and the defending state, should declare that they recognise the competence of the Committee in the case of an inter-state communication.<sup>7</sup> Another significant improvement brought by the OP is the inquiry procedure which is regulated with article 11 stipulating that the CESCR may investigate a situation in a state party when it receives reliable information about a grave or systematic violation.<sup>8</sup> It is important because it gives an opportunity for the committee to unveil the state violations which are not declared on periodical reports. The inquiry procedure is an opt-in procedure as well. Besides these, for the full realization of economic, social and cultural rights the protocol regulates the interim measures under article 5 and the international assistance and cooperation under article 14. Based on article 5, the committee can request the state to take interim measures in order to prevent irreversible damage to the victim or victims of the claimed violation.<sup>9</sup> Additionally, the protocol contributes to the realization of the ESCR by providing international assistance and cooperation. According to article 14, with the consent of the state party, the committee can transmit the issue to various UN institutions to get advice, recommendation and helps. In addition, the article includes the establishment of a trust fund to provide financial and technical assistance to the state parties. As the protocol stated, it is being implemented to contribute "to building national capacities in the area of economic, social and cultural rights in the context of the protocol".<sup>10</sup>

## Conclusion

Last February, Uruguay opened the door for the world to realize an ideal by providing the tenth ratification of the ICESCR Optional Protocol. Although the protocol was adopted on 10 September 2008, it was waiting for the ratifications of ten states

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1 Thoko Kaime, 'Whose Rights are They Anyway? A Critical Analysis of the International Supervision Mechanisms for Economic, Social and Cultural Rights' (ZAMLII) <<http://www.unza.zm/zamlii/comment/zlj/v3706.html>> accessed 02.02.2014.

2 Odello & Statzu ( n 2 ) 25.

3 Kaime, ( n 54 ).

4 The Optional Protocol to the International Covenant on Economic, Social and Cultural Rights,(2008), article 1.

5 Kaime, ( n 54 ).

6 Langford, ( n 3 ) 27.

7 The Optional Protocol to the ICESCR, article 10.

8 The Optional Protocol to the ICESCR, article 11.

9 The Optional Protocol to the ICESCR, article 5.

10 The Optional Protocol to the ICESCR, article 14.

to be entered into force. After the ratification of Uruguay, the protocol finally entered into force on 5 May 2013 and a dream came true after a long time.

The new enforcement mechanism brought by the optional protocol indicates a significant step in human rights protection. It can be said that for the first time since the Universal Human Rights Declaration was adopted, all the human rights become equal under international human rights law. By allowing individuals to lodge a complaint to the international community when their rights are violated, the new mechanism enabled the protection of fundamental social rights such as the right to food, the right to health and the right to work under international law.

The most important aspect that the optional protocol succeeded to bring forward was proving the full justiciability of the social rights. As a result, the International Covenant on the Economic, Social and Cultural Rights and the International Covenant on the Civil and Political Rights, which has been enforced by the similar mechanisms for about forty years, are at the same level now. In other words the ICESCR caught up with his sister about forty years later.

However, the long process which started in 1990 and continued with lengthy discussions has not finished yet. In addition to Uruguay; Argentina, Spain, Ecuador, Mongolia, Bolivia, Bosnia-Herzegovina, Slovakia, El Salvador and Portugal have ratified the protocol. But, more states should ratify it to make the protocol reached its desired aim. As more states ratify the protocol worldwide, victim protection will become more significant and attainable on international level.

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## Enculturation of Ambon's Public Spaces as a Tool of Building Inclusivity of Segregated Communities

**Yulita Titik Sunarimahingsih**

Senior Lecturer of Architecture and Design of Soegijapranata Catholic University, Semarang Indonesia

**Yustina Trihoni Nalesti Dewi**

Senior Lecturer of Faculty of Law and Communication of Soegijapranata Catholic University, Semarang Indonesia

**Heribertus Hermawan Pancasiwi**

Senior Lecturer of Economics Faculty of Soegijapranata Catholic University, Semarang Indonesia

**Octavianus Digo Hartomo**

Senior Lecturer of Faculty of Law and Communication of Soegijapranata Catholic University, Semarang Indonesia

### Abstract

Beside having significant values that would enrich the Indonesian nation, tribal, cultural, and religious diversity brought seeds of conflicts that could potentially disrupt social order and threaten national unity. The conflicts that occurred in Ambon from 1999 to 2004 were conflict examples that were caused by religious plurality that had appeared many societal problems that could not be fully resolved until today. The trust among Ambon's plural communities had not returned well and it was even worsened by settlement segregation separating Muslim and Christian communities that factually brought potential for further conflicts. In the present life of Ambon's segregated society today public spaces inspired by brotherhood and "unity in diversity" spirits that could be meeting and socializing means of the communities and to reduce the social polarization were to be absolutely necessary. Unfortunately, the existing public spaces in Ambon for the time being served only as stages of activities and they did not connect with the communities' social spectrums so that the public spaces remained meaningless. A public space here served just as a witness, not as a means of socializing in accordance with the communities' cultures and characters. This paper would discuss how to integrate the communities' cultures and characters into a public space design that had significant meaning in overcoming the polarization of Ambon's segregated communities. The public space would be designed by taking into account a location choice where two segregated communities could easily meet. In the public space a macro space concept where the sea as the front page of Ambon communities should be applied and even forwarded since such a concept tended to be forgotten. Beside the spatial format, the public space should also be designed by facilitating various cultural-based activities so that the communities' characteristics that were integrated in the urban culture and daily activities would appear in the public spaces.

**Keywords:** Enculturation, Ambon, Public Spaces, Inclusivity Building

### Introduction

Indonesia's Moluccas islands were historically islands of peace having abundance of local wisdom that nourishes their people. 'Hidop Orang Basudara' was a noble civilization strategy to prevent and resolve conflicts and to build true peace among indigenous Moluccas people. 'Hidop Baku Bae' (peace) was a key word in Moluccas customary values referring to a sacred, dynamic and sustainable process to reconcile and reunite the conflicting parties. 'Hidop Baku Bae' was a customary life achievement that was not just found but it should be consistently and continuously created and built. 'Hidop Orang Basudara' and 'Hidop Baku Bae' local wisdoms had become a harmony binding among the Moluccas people for centuries and strengthened solidarity and order in the countries of Moluccas and elsewhere so that they were driven to be agents and pioneers of peace in their own countries and outside the region as well.

Ambon as the capital of Moluccas that inherits the characteristics of Moluccas' culture<sup>1</sup> appears as a dense, pluralistic, and segregative city. Since long time, Ambon has a long history as the center of economic interaction, governmental politics, and culture. It is different from most other cities Ambon people were not only inherited by pluralism but they were also characterized by a strict segregation based on religious matters and strict segregation of settlement clusters according to the line of religion that had been established since the time of Dutch colonialism<sup>2</sup>. For the sake of surveillance of the people, the Dutch colonial government reorganized the settlement system that was called Hena or Aman into *Negeri* (Country)<sup>3</sup>. Therefore any community that used to be called Hena or Aman would change into *Negeri*. In the socio-historical process, these *negeris* clustered in certain religion so that there were two religious-based community groups that were later known as Ambon Sarani (Christian) and Ambon Salam (Muslim)<sup>4</sup>

Such segregative dwellings appeared to be one of the triggers of Ambon's long conflict that began in January 1999 which was initiated by dramatically decreasing social interaction among Ambonese people. They lived in groups based on religious similarities to form a deeper segregating partition. The social interaction patterns experienced a shift that were marked by the increasingly widespread interaction pattern having conflictual characteristics. The basic building of a plural-segregative society seemed to find a consolidation momentum so that it reached a total elimination phase. Public facilities such as markets, schools, hospitals, and others were segregated, such as muslim markets, namely Batumerah and Old markets, and christian markets namely Passo, Tagalaya, and Batumeja markets. This dwelling and other facilities segregation had made Ambon experience social segregation. This condition caused mutual distrust among the people.

The present Ambon communities' socio-cultural condition is in post-conflict reconciliation (of Muslims and Christians) phase after the 1999 conflict. The destruction of public facilities such as education and health facilities have been temporarily fixed and this fact appears to show significant progress. Similarly, the distorting social-cultural relations that affects the social cohesion degree and creates social distance and community segregation have been gradually fixed.

Despite experiencing such distortion that caused disputes or conflicts among communities and created social distance and stretched the social cohesion degree the Ambon communities basically had open, tolerant and appreciative characteristics to cultural diversity, respecting collective life in the spirit of "orang basudara" (brotherhood). These characteristics manifest in their territorial-geneological social relationship such as "pela" and "gandong" fraternal cultures or other cultural activities. Ambon communities' cultural characteristics remain having a very strategic potential to be utilized as a safety valve, especially for social stability and security.

The phrase of "Ambon Manise" reflects the totality of the life aspects of Ambon communities, both physically and socially. Physically, "Ambon Manise" means the natural beauty of Ambon City and its environment that is clean, orderly, safe and comfortable; and socio-culturally it reflects to harmonious interaction among the groups and the groups members within the society as it commonly reflects in the cultural fraternity relationship patterns of "pela" and "gandong". The Ambon communities have a philosophy of "Bersatu Manggurebe Maju" which democratically puts forward collective values in order to reach consensus, a teamwork to have a honest, transparent, and democratic competition in order to reach safe, harmonious and prosperous Ambon city in the future.

In such a situation the role of public space is significant enough to further strengthen the brotherhood among those who recently had social conflict experiences. This public space is not only understood as physically geographic where the communities gather but it is more as a sphere or environment where the communities will probably interact not only face to face but also to make verbal and inner dialogue. The public space becomes a medium of communication of the Ambon people having *kewil* habit (to discuss mutual interests) so as to be a mediator of the people's *paparipi* nature (hurry and rapidly heating up) that usually emerges from private spaces spreading over the city area. Such a space is expected to dilute the differences and to be an arena of amalgamation occurrence (melting pot) meaning the groups and /or individuals will voluntarily merge their respective identity so as to facilitate the occurrence of assimilation and cooperation, or at least to build tolerant attitude and behavior among the members of different communities

## **B. the Characteristics of Ambon's Communities and Ambon City as that is Based on "Orang Basudara" Culture**

<sup>1</sup> Aholiab Wattoly, 2016, "Gambaran Umum Kota Ambon" presented at Focus Group Discussion on Design of Public Space Based on Ambon's Local Wisdoms", Ambon pp. 2-4

<sup>2</sup> Tamrin Amal Tomagola, et al, 2007, Format Ulang Birokarasi Kota Ambon, Inninawa, Makassar.

<sup>3</sup> Abdullah, Subair. 2014, Merayakan Satu Dekade Pasca Konflik: Hidup Harmonis dalam Bingkai Segregasi, Jurnal Studi Islam Volume 3 Nr. 1, 2014

<sup>4</sup> Tamrin Amal Tomagola, et al, op.cit.

The characteristics of Ambon's communities can be read and understood from their various traditions and daily life habits. They, since the beginning of the city construction until today, were made of multi-identity migrant communities, multicultural communities, harbor communities adorned with beach and beautiful sea (water front city). As a hallmark of the urban migrants, the Ambon's communities are embedded in the diversity of ethnic and traditional identities. There are Ambonese, Dutch, Portuguese, Chinese, Arabic, Javanese, Timorese, Kisar, Minang, Tapa, Banda, Tanembar, Babar, Letti and so on which continue to color the Ambon social configuration until now.

Of the Ambon's citizens there are some having ethnic-identity backgrounds of the Netherlands, Portuguese, Arabic, Chinese, and Spanish. There are also citizens coming from ethnic-identity backgrounds of Ambon, Java, Timor, Sulawesi, Toraja, Madura, and so forth. The coming of the migrants did not only happen in the past but it happens until now (post conflict), the Ambon demography continues to grow due to the never stopped migrant influx and they who are interested in the beauty and hospitality of Ambon. Having such a multi-ethnic diversity the Ambon's communities are expected to embrace each other in establishing the identity and togetherness concept as Ambon's citizens in a cross-cutting affiliated identity that are supporting each other. As a result, Ambon's communities having a mixed identity will emerge.

The genuine characteristic of Ambon's citizens from the beginning was open to differences, meaning they were accustomed with mutual attitudes to accept and recognize differences and to build cooperation across differences for the common good. The other characteristics were expressed in inter-racial and inter-ethnic relations in Ambon City where they would always be open to ethnic or racial differences in a cultural identity so the term "Katong Samua Orang Basudara" had become a strong social capital perform the national principle of *Bhinneka Tunggal Ika* (Unity in Diversity) in city called Ambon Manise. The openness and plurality natures makes the Ambon's citizens very sensitive to conflicts eventhough they are factually true peace-lovers (*hidop bae-bae*). Under these circumstances the existing local wisdom modes in preventing conflict, resolving conflict and building sustainable peace should be the main capital of the Ambon's communities. As a plural society they often experience conflicts but thereis always local wisdom capital that keeps them open for mutual admonition, counseling, and forgiving each other. *Katong Samua Orang Basudara* is guided by a social ratio that becomes the customary ratio of Moluccas or Ambon communities and it becomes a collective mind of civilized Moluccas communities. The Ambon people have always been the reality portrait of *Hidup Orang Basudara*<sup>1</sup>. The description above shows that the plurality of the Ambon's community must not be used as a means of triggering social conflicts as it is opposed to the authenticity of hearts, characteristics and traditions of the Ambon's communities themselves. The plurality of Ambon's communities could be a social and development capitals to achieve a sustainable development of Ambon City.

### C. Public Space Concept as a Facility for the Segregated Communities Encounters

A public space as a means of inculturation can be understood as two things, namely public space and public sphere. Public space here means a physical space or place of communities in conducting social activities and a place of social interaction. Such a public space will be a node and landmark of the city navigation tool that could perform as pedestrian, pavement / plaza, public square, and park<sup>2</sup>. A public space as a public sphere was an idea of a Germany philosopher, Jurgen Habermas, who defines public space as a space for critical discussion that is open to all. In this public space, private citizens gather to form a public in which the public reason will be directed to oversee the government's and state's power. The public space here assumes freedom of speech and assembly, free press, and the rights of free participation in political debates and decision-making<sup>3</sup>. Habermas further states that public space is a democratic space that can be used as a vehicle for community discourse, meaning that citizens can express their opinions, interests and needs discursively. A public space has an important role in the democratic process because it can be the citizens' arena to communicate with each other regarding their political anxieties<sup>4</sup>.

From the definition, a public space as a plural space is considered as a place of social life of citizens to interact with each other through the democratic principles for the common good<sup>5</sup> and the arena for the communities to participate in deliberation (on issues of political/policy legitimacy) which is an ideal picture of democracy in which there are justice,

<sup>1</sup> Watoly dalam Ralahalu (2012) dan Watoly dkk. (2016)

<sup>2</sup> Lynch, K. 1960. *The Image of City*, MIT Press. Cambridge, MA.

<sup>3</sup> Siahaan, James, 2014, *Ruang Publik: Antara Harapan dan Kenyataan*, [www.tataruang.atr-bpn.go.id/Bulletin/upload/data\\_artikel/edisi4c.pdf](http://www.tataruang.atr-bpn.go.id/Bulletin/upload/data_artikel/edisi4c.pdf)

<sup>4</sup> Noor, Irfan, 2016, *Identitas, Agama, Ruang Publik dan Post Sekularisme; Perspektif Diskursus Jurgen Habermas*, *Jurnal Ilmiah Ilmu Ushuludin*, (p-ISSN: 1412-5188/e-ISSN: 2549-3752)

<sup>5</sup> Kurniawan, Robby.C, 2011, *Ruang Publik Pasca Era Reformasi*, *Jurnal Ilmiah Administrasi Publik dan Pembangunan*, Vol. 2, No. 2, Juli – Desember 2011, hal. 368.

diversity, freedom and solidarity values<sup>1</sup>. A public space is not only physical in nature such as a park, a field, a legal institution or organization but the citizens' communion itself is actually a public space. Therefore, public space should be free, open, transparent and no government intervention as it is autonomous. In other words, a public space should be easily accessible to everyone. From this public space the power of society's or citizen's solidarity can be directed to positive goals and vice versa<sup>2</sup>.

The emergence of social media often called "virtual world" as a new medium provides a wider transformation, both theoretical and practical, on how a public space takes place in a virtual space. The internet's characteristics as a medium, the users accessing, to the information distributed in the virtual (public) space should be of concern how to see the real characteristics of the public space of the virtual world, taking into account the positive and negative aspects<sup>3</sup>. A virtual public space is like a double-edged blade meaning it can quickly change from an assisting tool to a "killer" and vice versa because of its virtual nature, there is no physical presence. Thus, to build harmony in society, we can not rely solely on the development of information technology<sup>4</sup>. No matter how sophisticated the virtual world, it is a world that has no touch of real sympathy and empathy to be used as a modality of building brotherhood in the real world. Therefore, an encounter place which is the a physical public space to build harmony of the citizens is a necessity that can not be negotiable (*conditio sine quanon*<sup>5</sup>).

A public space is significant for urban areas and urban life because it is a social construction of a space of spatial behavioral that is defined and to determine the space around us as an integral part of our social existence. Besides, a public space is able to build inclusivity where every community group always has its own belief, character and problem. When it is only self-kept, not communicated with other groups, what will happen is then exclusivity that has the potential to become prejudice seeds, social jealousy, social segregation, etc. What comes later is the feeling of "in group" and "out group" that are easily provoked by irresponsible parties having certain interests<sup>6</sup>. The public space here will be able to play a positive role that can be a space of encounter among communities having different backgrounds and they can interact with each other so that one is to know the others, and vice versa. A public space will not and should not eliminate differences but it can find "links" between different groups of the communities in the form of shared concerns perceived as members of the community, such as education, the environment, economic difficulties, etc. Face-to-face and eye encounters will create a natural, not artificial, sense of sympathy and empathy as it is possible in the virtual world. On the other hand, such a physical public space could be a "cross-cutting affiliation" for all citizens involved although they are different but have shared concerns that must be fought, including the longingness of safe, comfortable, and not bothered by fear and worry life. A public space could also become the reintegration of the socio-spatial division so as a mediator between private spaces dominating the city and it plays an important role in socio-spatial division. Without the mediation process the spatial movement within the city becomes very limited. In relation to this matter, a public space is also considered capable to be a forum for communication and coordination.

#### **D. Public Space Concept as a Facilities of Ambon Communities Inculturation**

The early building of Ambon's community was based on a hallmark of a harbor-town community, built by the Portuguese and the VOC in the 16th to the 18th century. The social life of the community was systematically designated as a distinctive residential system equipped with beaches, seas, ports and fortified buildings that characterized the "port of town" and merchant community as well as sailors. As a port town community the anthropological characteristics of Ambon's people was always close to the beach and the sea. The characters were also influenced by the local viewpoints of the indigeneous Ambon's people as other Moluccas' communities living in mountainous areas but they always had a bay or an harbor as an entrance and exit of their respective *negeri*. They had an intact marine and land zonation system without separating the sea from the land.

Sea water was always to be a social event of together afternoon bathing and swimming after doing activities in the forest or garden. After that they then looked for a river to cleanse their body of salty water and the habit was called "spul badan". The romanticism of the beautiful beach and marine having sand and headland had always been a reference to the

<sup>1</sup> Wicandra OB, 2013, *Merebut Kuasa atas Ruang Publik: Pertarungan Ruang Komunitas Mural di Surabaya*, Disertasi, Petra Christian University

<sup>2</sup> Pancasiwi, Hermawan, 2016, *Budaya Berbasis Kearifan Lokal sebagai Modalitas untuk Perjumpaan dan Interaksi*, paper yang tidak dipublikasikan.

<sup>3</sup> Ibid

<sup>4</sup> Ibid

<sup>5</sup> Ibid

<sup>6</sup> Ibid

cosmological identity of Ambon's citizens. Their relationship with the sea and the coast became an inseparable unity. Various songs were created and inherited to remember and restore the freshness of their lives. The songs always told the charm of Ambon city life with its beautiful beach and sea.

The writing above explains that a public space, in the context of post-conflict Ambon, a public space can play an important role in the socio-spatial division of the Ambon's communities having the anthropological characteristic space concept that is always close to the beach and sea. Sociologically, the Ambon's communities need public spaces arranged with the charm of the sea, beach and headland that will provide a powerful psychological effects to restore the freshness of the existence of "Orang Basudara" culture in a cosmological space and their original nature as a marine love communities having beautiful beaches to build encounter processes and to do consolidation of "Hidup Orang Basudara". The public space management implementing the philosophy of *Tempat (tampa) Bakumpul Orang Basudara* will make the existing social institutions such as governmental institutions, customary institutions, educational institutions, and communities involve in the management and utilization of the public spaces effectively and efficiently. Thus, the presence of public spaces in Ambon city becomes relevant as a primary need to motivate the lives of *Orang Basudara* to be more constructive so that the density, narrowness, and social sloth that tend to be social problems in Ambon city will be easily handled. The concept of the macro space of Ambon's communities which is inseparably related to the sea makes the beach a "yard" so that the public space as an encounter space is more precisely placed by the beach. The phenomenon of new development that tends to close the shore makes it necessary to review the policy on the development and urban planning of Ambon city.

The open spaces of Ambon city are designed to support the ecological and socio-cultural benefits that promote people's welfare<sup>1</sup>. Currently the concept of an open space is still directed to a green open space and it is understood as a green park. Seeing the situation of the Ambon city it is necessary to think about open spaces that are not considered only as green parks but they should be more interpreted as spaces that can be utilized as a public spaces where people can interact in them, meet each other and greet without any divider.

A public space in the context of physical public spaces here is a place for community interaction having a social role. In socially critical situation the local wisdom values could be musically elaborated and packaged into messages that must be more "touching" than the speeches or appeals of formal leaders that are often verily normative. Moreover, if such activities in the public spaces are able to invite all parties, particularly the conflicting ones, the social conditions will soon recover and be much more lasting than if they were carried out under pressure or coercion conducted by the authorities. All these can only happen in public spaces that are physically open.

A public space viewed from local wisdom and people's daily life is very close to the original characteristics of Ambon's communities themselves, particularly in building *Tempat (tampa) Bakumpul Orang Basudara*. The space of *Bakumpul Orang Basudara* gives a strong cosmological inspiration so that they will understand and accept a public space as a cosmological house of *Orang Basudara* viewing the object of public space as a house and a yard of *Katong Orang Basudara*, thus it will awaken a consolidation room of *Orang Basudara* strongly and firmly inside every public space.

The Ambon' communities, especially the post-conflict Ambon's youths, need public spaces to build encounter processes and to make a consolidation of *Hidup Orang Basudara*. Public spaces arranged with the charm of the sea, beaches and promontory will provide powerful psychological effects to restore the freshness of the existence of *Orang Basudara* in their a cosmological space and their original characteristics as a sea-love communities having beautiful beaches.

The conflict phenomenon of Ambon's communities is not static but it tends to be dynamic. Conflicting trend that easily changes has a close relationship with 3 dimensions, namely: time, resources and infrastructure<sup>2</sup>. The behavior of Ambon's people that are easy to fight but also easy to reconcile is caused by the behavior that tend to be the fundamental weaknesses of the people, such as *kalakuanq jumawa* that is temperamental and emotional characters. These characteristics make Ambon's people less able to control themselves, easily provoked, doubled with *kalakuanq papariipi*, that is the characteristics of rush and quickly respond. A sense of solidarity that is embroiled in emotion that has been a specific characteristic of Ambon's communities which is a reflection of the sense of brotherhood (*Orang Basudara*) wrapped with emotional fanaticism tends to harm. On the other hand, the essence of peace and peace modus in indigenous people of *Orang Basudara*<sup>3</sup> have three meanings that are free of war, free of civic irregularity, and calmness that balance the three meanings, namely social meaning which creates harmony, tolerance and harmony that are called *bakudame deng*

<sup>1</sup> Rencana Pembangunan Jangka Panjang (RPJP) Kota Ambon, Perda Kota Ambon no. 4 Tahun 2006.

<sup>2</sup> Watloly, dkk. 2016, Perdamaian Berbasis Adat Orang Bersaudara, PT Kanisius, Yogyakarta, hal. 27-36.

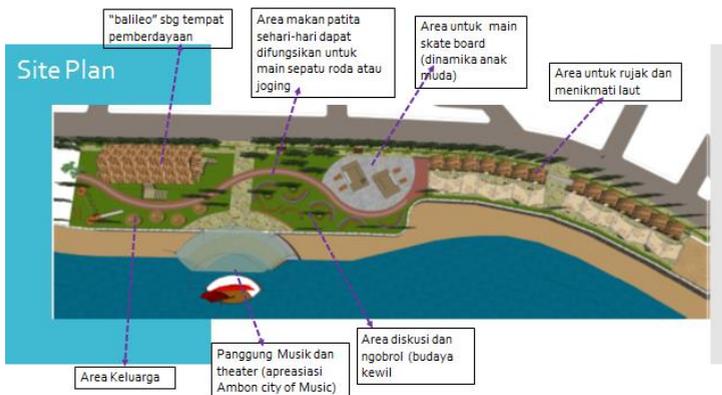
<sup>3</sup> Ibid hal. 71,72

*basudara*, the meaning of the nature creating harmony with nature (*bakudame deng gunung tanah*) and inner meaning creating peace and inner welfare (*bakudame deng sanang heart dame deng sanang hati*).

Therefore, peace as a process must be planned and executed, not given, it must be built and pursued in Ambon's communities and must be a serious effort. To achieve the peace process, two concepts of reconciliation are made in stages<sup>1</sup>, namely first to build a continuous dialogical relationship, and second to bring and to engage the reconciled parties in an activity which can create dependence on each other. The efforts will be very effective if they are run in a public space concept that became a means of encounter that is based on Ambon's own culture. The public space should be a living rule which in the community of *Orang Basudara* is called "Atoran" which means that traditional values are used as a sacred norm which serves to direct, control, and reward or sanction<sup>2</sup>. Cultural traditions that must be developed through the public spaces are, among others<sup>3</sup>:

- a. the tradition of *kumpul basudara* (gathering relatives)
- b. *panas pela* (to strengthen kinship ties between indigenous communities having fraternal relations)
- c. *panas gandong* (to strengthen kinship relationship of relatives)
- d. *Yelim* (tradition of helping each other when happy or hard)
- e. *Moritari* (art or rule of life in the race of doing good)
- f. *Kalwedo* (sharing greetings, joyful spirit and peace in a strong cultural bond), etc.

Therefore, to realize true peace for Ambon's communities, besidean encounter space, a public space must also be able to represent the living *atoran* and tradition. Here is an example or model of public spaces that the Ambon's communities need, especially in the border area between 2 or more segregated settlers:



## E. Conclusion

The inculturation process of a public space means the process of cultural initiation of "*Orang Basudara*" of Ambon's communities that elevates local cultural values as part of the work of peace proclamation. This enforces a life-loving process as brothers and sisters and to avoid violence and this can be one of the ways to resolve any conflict. Through the inculturation process in the public space, peace proclamation will be well received by the local communities according to the languages of individuals and cultures that have grown and rooted in Ambonese plural communities. Therefore, the public space inculturation that performs as a reciprocal relationship among individuals and communities that interact in that space having *Orang Basudara* culture is expected to merge in the rules, limitations and meanings of the social order of the Ambon's communities to lead a lasting peaceful life.

<sup>1</sup> Ibid hal. 74

<sup>2</sup> Ibid. Hal. 78

<sup>3</sup> Ibid. Hal. 79

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## Artists as Inviting Personalities for Self Exploration and Social Learning at School

**Martha Ioannidou**

Senior Lecturer, Faculty of Education, School of Primary Education, Aristotle University of Thessaloniki

### Abstract

In today's increasingly fast-paced societies, undergoing reformation in the aging schooling systems in order to prepare children to subdue the high amounts of pressure and stress and lead productive lives seems to be moving slowly, compared to the unexpected rhythms of the socio-economic changes. In that context a programme has been created at the School of Primary Education, based on the belief that art shouldn't rest only in the frame, but become itself a frame of the children's experiences, a means for self-exploration, enhancing at the same time social learning and cultural responsiveness in schools. At current stage we explore whether and how artists as inviting personalities can become an example to children for building their own identity, while opening widely the borders of relating effectively to others or to life's varied phenomena, as they learn how to communicate the subtleties of who they really are and what they believe in ways that words usually fail to fully capture. Children are asked to choose as a self-companion through their school year an artist, who greatly benefited from the arts' unique power as a tool for shedding light on his/her self-knowledge and for overcoming difficulties as well as a means of fostering meaningful connections with his/her social and cultural environment. Curricular goals and learning units are approached by adapting innovative and effective teaching practices through the arts, based on the life and work of the artists children have chosen.

**Keywords:** Art History, Learning through the arts, Art Education, Self improvement, Social Inclusion, Cooperation, Mixed ability classes, Art therapy

### Introduction: Thoughts before action

"I am enough of an artist to draw freely upon my imagination. Imagination is more important than knowledge. Knowledge is limited. Imagination encircles the world." "Logic will get you from A to Z; imagination will get you everywhere."

Albert Einstein

In today's increasingly fast-paced societies, the reformation of ageing schooling systems in order to prepare children to overcome high pressure and stress and lead productive lives, seems to be moving slowly in comparison with the unexpected rhythms of socio-economic change and technological development. As a result of the headlong rush to follow the curriculum, holistic approaches to learning and creativity are frequently pushed aside while young learners face underachievement, lack of inspiration and an inability to set goals. Feeling underestimated and emotionally disabled, they tend to become chronically discontent. Ironically, this is happening at a time when everything seems possible and neuroscience research is revealing the impressive impact of arts on the cognitive, social and emotional development of young brains (Sousa, 2006).

Every new academic year, debates are launched on how educative practices can become more concrete and effective in the holistic development of young learners as humans, not just 'possible' scientists. Proponents of art education argue that the nature and practices of arts embody intellectual freedom, as well as the unique power to transmit human values, reinforce greater respect for people, eliminate stress, minimise discrimination and break down boundaries. Artistic activities engage all senses and wire brain and soul for successful learning. Moreover, this 'learning' goes far beyond the singular knowledge derived from the various individual subjects. Education through the arts offers a combination of information, skills and thought processes that transcends all areas of human engagement and integrates exceptionally well with most subjects in the core curriculum (Efland, 2002; Newton, 2014). Furthermore, arts play an important role in human development, enhancing the growth of cognitive, emotional and psychomotor pathways. Therefore, educational systems

and practitioners at all levels have an obligation to expose learners to the arts at the earliest possible stage, and to consider their inclusion in the curriculum as fundamental.

According to Vygostki (1991, 1997), teachers can contribute to the enrichment of children's experiences by proposing, involving and enriching activities that broaden their cultural repertoire and contribute to the strengthening of 'superior' psychic functions (self-realisation, self-control, memory, attention, etc.) as well as the development of emotions and of personality. Art is the ground on which our internal and external worlds meet. 'Like other tools, art has the power to extend our capacities beyond those that nature has originally endowed us with. Art compensates us for certain inborn weaknesses, in this case of the mind rather than the body; weaknesses that we can refer to as psychological frailties' (de Botton & Armstrong, 2013, p. 5). Achieving or restoring the psychological balance, art acts as a catalyst in personal development, enabling the long-sought Aristotelian 'catharsis', the release of sentiments, the acquisition of self-knowledge, the surmounting of fears.

All of us involved in art education or education thought the arts and culture can advocate, I believe, that children's indirect or direct engagement with some form of art contributes decisively to their holistic growth. The results would be apparent sooner were art to be covered in schools not as a single-hour subject, but as a means of processing self-cognition, social behaviour and emplacement; as a tool of informal 'soul therapy' as well as one of acquiring academic knowledge (Malchiodi, 2012). As part of a new movement in schools, teachers use classic works of art to inspire students to observe closely, think critically and discuss respectfully key elements of the curriculum. Although such practices let children develop visual literacy, art is not meant just to be read as we read words. In order to attempt an innovative approach to children's lives (personal-social-cultural) with the aid of arts, children need to feel, experience and be inspired in open-ended artistic-educational interchanges. From the very first day of introductions in the classroom they should be given the opportunity to explore, through artistic means, elements of their character they never imagined existed, thereby getting to know themselves as well as their classmates. Each proposed artistic task should acquire a meaning which, because of the emotional involvement it allows, can contribute to their development of different capabilities that are also appropriate to social dynamics (Duarte, 1993).

### **Objectives and Methodology**

Within the framework of a new approach to acquainting children with one another in the classroom and finding out each student's abilities, disabilities, sentiments, thoughts and beliefs, a programme was created at the School of Primary Education (Aristotle University of Thessaloniki, Faculty of Education, Greece). It was based on the belief that art should not rest only in the frame, but become itself a frame of the children's experiences as a means of self-exploration, simultaneously enhancing social learning and cultural responsiveness in schools.

The project is quite new, having been running for only a few months of the academic year 2016-17. It has been carried out in two regions, involving 50 children in their final year (6<sup>th</sup> grade) of primary school. In order to achieve a 'safe' research result reflecting the situation in the country as a whole and taking individual differences into consideration, the intention is to extend the project to several other areas and age groups during the current academic/school year (2017-18) at least, and to promote interdisciplinary connections between the Faculty of Education's undergraduate students and children in primary schools. Interaction will be enabled by employing multiple ways of communicating experiences and knowledge, and by creating and critically using multicultural pedagogic tools as well as our interactive Cleo @rtplatform (an innovative online educational platform that contributes to the dissemination of knowledge in arts and culture).

At this stage our aim is to explore whether and how artists as appealing personalities can become models for children in the process of building their own identity, widening access to ways of relating effectively to others and to life's varied phenomena as the children learn how to communicate the subtleties of who they really are and what they believe in, in ways that words usually fail to fully capture. By emphasising and examining the role of art in children's lives, instead of just looking for the aesthetic value of works of art, the project aspires to foster self-exploration and develop reflective social practices, beliefs and values that children feel close to or regard as being of great influence (Duncum, 1996, 2002; Freedman & Stuhr, 2004).

A variety of artists were chosen as alternative sources of inspiration—as appealing personalities who preferred to use their creativity and imagination to handle life's ups and downs. For many artists, like Matisse, Kahlo, Tapies and Beethoven, art became their refuge and in various ways a release for their sentiments and beliefs. Words gave space to lines, form and colour, and an alternative 'therapy', not always consciously chosen, was employed through the empowerment of creativity and self-exploration. Struggle, passion and patience fought mediocrity and led finally to exposure and greatness. Thus, as

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inspiring models, artists can compel, educate and communicate ideas to children in ways that are more joyful, understandable and descriptive than words alone. By adopting artists as models, the emphasis is not on the excellence of their work but on their willingness to explore themselves, to overcome their 'difficulties' and set goals through art, but not only in art. Children more than anyone need creative types who will pick them up and dust them off when life gets tough. Even though today's societies are excessively focused on the external, art and artists can help children to explore, cultivate and honour their inner world. Artists express themselves in a universal 'language' unconventionally. For them, mistakes are the pathways to discovery, and patience the linchpin of their creativity. Genius takes time and artists pursue their passion as an end in itself, without ensuring reward or recognition. Children, as a result of their innate artistic sensibility, can draw lessons from artists on cultivating curiosity, finding beauty everywhere, handling criticism and socialising in alternative ways. One of the biggest lessons that art can offer children is how to resonate with their classmates, whether they are going through a pleasurable or traumatic experience, are extremely skilful or facing difficulties; in other words, they can learn to empathise, which might be more beneficial than any other knowledge. In real life, problems can often have more than one solution, and the artistic experience can teach children to explore deep into their souls, shed light on their inner darkness, express their emotions and use their judgment (Eisner, 2002).

In order to achieve a holistic approach the case study, the ideal method according to Yin (2008), was chosen as the main methodology for this research. At this first stage, the initial reactions of children and relevant observations highlighting the value of art in self-cognition were captured and analysed. The project also sought to underscore the usefulness of a rounded acquisition of self-, social, cultural and academic knowledge through the arts.

Particular sensitivity was shown in matters of inter- and multi-cultural orientation, given the range of ethnic and cultural origin in the classrooms. To ensure effectiveness, special care was taken in selecting artists across cultures, diversifying instructions and explanations for children whom we divided up into small, mixed groups, setting various goals and presenting cross-cultural models, and in the artistic/cultural freedom deployed by children during their self-presentations.

The data collected is significant and helpful in terms of allowing more careful observation and making relevant changes to the pedagogical scenario. Nevertheless, in order to interpret the results in situ and proceed to a generalised conclusion, the gathering of data [observational field notes, artworks, videos, wiki results and questionnaires in three phases—introductory, mid-assessment, final evaluation] from all those involved will continue during this academic year, involving more participants and establishing closer connections between the work done in the classrooms and in the university labs.

By the end of the project, and before setting out our final proposals for what changes can and should be promoted in the school curriculum according to the results of this study, a parallel analysis of the educational material—mainly textbooks—used in primary education is needed in order to investigate the links with art and cultural images, the conceptions they offer about various types of artistic and cultural expression, and the suggestions they propose for their use in fostering children's self-cognition and social development.

### **The basics of the approach**

Children were invited to discover themselves through various artistic modes of expression and to communicate their feelings, thoughts and beliefs. To ignite their creativity the project encouraged them to explore the life and oeuvre of various artists, to be inspired by them but not to set as their goal the aim of becoming like 'one of them'. On the contrary, they were encouraged to free their souls and expressive abilities and find their real selves. The approach followed adheres to Picasso's idea of creativity and innovation, expressed briefly in his famous quote: '*When I was a child my mother said to me, "If you become a soldier, you'll be a general. If you become a monk, you'll be the pope." Instead I became a painter and wound up as Picasso.*'

The project was organised around five basic phases, as follows:

#### *Double self-portrait /self-cognition, face1*

The instructor/ teacher showed the class Pablo Picasso's *Girl before a mirror* (1932, MoMA) and posed a clever, stimulating question to engage students in discussion about the intriguing image and spark inquiries about their inner and outer selves, self-portraits, psychographic portraits etc., in order to operationalise the challenge.

An explanatory link along with a photocopy of a short analysis of the painting was offered to each student (MoMA URL [https://www.moma.org/momaorg/shared/pdfs/docs/publication\\_pdf/3153/Picasso\\_PREVIEW.pdf?1353958988](https://www.moma.org/momaorg/shared/pdfs/docs/publication_pdf/3153/Picasso_PREVIEW.pdf?1353958988)).

Next, students were invited to introduce themselves to the class non-verbally, avoiding common first-day introduction tactics, tree charts, etc. They were asked to produce a double self-portrait in an attempt to express their inner–outer identity. Various media were available and a short video of various artists' psychographic self-portraits shown in order to mark the starting point of the activity.

Suggestions were offered—where needed—on how to split their faces into two, reflecting the inner and outer self: the way they feel and the way they believe they look. They were also given the freedom to construct their inner side by including things that they like and the thoughts and feelings that best describe them.



Fig. 1-3

#### *Muse month*

Working in small groups, the children were asked to search for information about one of the nine muses and to present their findings to the rest of the class in an imaginative and artistic way. They were then asked to make a puppet of their muse and to use it as their *deus ex machina*. The challenge was to respond as a group to all school activities and exercises, for a whole month, by monitoring, expressing and overcoming the difficulties they face inspired by their muse and the arts she nurtures. Experiences and artworks were exchanged on a wiki and at the end of the month each group story had to present their experience as a cartoon story or short film.

#### Main objectives:

- To serve as a threshold to the children's sensitisation and initiate creative thinking and problem solving through the arts
- To explore the expressive possibilities that arts can offer
- To cultivate creativity, imagination and critical thinking
- To stimulate psychokinetic development
- To learn to respect others through experience
- To encourage the expression of emotions.

#### *Talent takes time*

First, the concept of multiple interpretations was applied in the classroom to the oeuvre and personality, abilities and disabilities, beliefs, feelings, etc. of world-renowned artists. The selected artists were considered intriguing and appealing personalities, who revealed their difficulties in public as well as the benefits they enjoyed by becoming artistically active and creative.

Following on from these kinds of multiple 'diagnoses', in small groups the children then had to choose an artist and construct his/her profile by focusing on his/her work, life, diaries, theories and thoughts.

Each group was given ten days to organise a small exhibition on the artist's work and persona, indicating the special role art had played in his/her self-cognition, social emplacement, development and maturity. The children were expected to recognise and demonstrate how art had become both the artists' refuge as well as their Trojan horse.

Material on offer for each artist in the list included a selection of self-portraits and key artworks, a collection of his/her thoughts or writings, a short biography, web links and videos associated with his/her artworks.

Talking about these artists, their goals and artworks encouraged children not just to gain cultural knowledge but to look carefully, explore closely, distinguish, analyse, explain and meditate (Leinhardt & Knutson, 2004; Pringle, 2006).

#### *Step into my shoes*

Children were asked to choose as a self-companion through their school year, an artist who greatly benefited from the arts' unique power as a tool for shedding light on his/her self-knowledge and for overcoming difficulties as well as fostering meaningful connections with his/her social and cultural environment. Curricular goals and learning units were approached from that point onwards by adapting innovative and effective teaching practices through the arts, based on the life and work of the artists the children had chosen.

Activities 3 and 4 were aimed at, among other artistic and emotional goals, helping the children to:

Develop their emotional intelligence and empathise with others in various situations

Explore 'greatness' from a different point of view and understand that 'talent' is a privilege open to all individuals

Conceive that each person expresses his/her sentiments in different ways

Realise the importance of the arts as a means of expression as well as a 'therapy' tool

Limit negative thoughts and quick judgments.

#### *Self-presentation, face 2*

At the end of the project, the children were challenged to portray themselves for a second time and to capture as many parameters of their personality in any way they preferred (through painting or other artistic media).

Stage 1 double-face self-portraits and stage 2 self-presentations were exhibited together and analysed in the classroom, focusing on the role that art played in their development.

Artworks, thoughts and interactions were uploaded by the children onto the Cleo @rtplatform, in a special area designed for this project.

#### **Reactions and first evaluation- results**

Interim outcomes at this stage of the project showed an improved classroom climate, the restoration of students' good opinion and attitudes towards learning and significant development in their social-emotional skills. Intrigued at participating in activities that engaged the various senses simultaneously and empathetically, the children came to realise by experience rather than in theory that the arts are not just expressive and affective but are also deeply cognitive. They admitted that before participating in the project they rated works of art in a museum as highly creative, but paid less attention or gave little credit to the creativity, innovation or greatness of a classmate's artistic work. Now, they felt that they had an almost deeper perception of what they were seeing, without preconceptions. Moreover, many confessed that they had never appreciated that their artistic work or artistic expression was a means of self-manifestation. With only a few exceptions, most children believed that their expressionistic abilities and skills had expanded. They were excited to find and experiment with these skills that related to more than art alone, applying them to the way they understood the world, saw other people and absorbed their lessons (Posner, Rothbart, Sheese, & Kieras, 2009).

Even though the project was quite new and that there had been little time to participate regularly in various forms of art, quite a few children noticed a clear correlation between art and other achievements. For example, some of them who studied music and felt that they had a flair for mathematics and geometry, felt close to artists such as Klee and Kandinsky who had succeeded in both fields.

To sum up the findings of the informal first evaluation, we wish to underscore that the children had:

communicated effectively and learnt to work with diverse people

cultivated their capacity to notice, observe and then reflect on thoughts and behaviours in order to make more conscious choices

learnt to honour difference and foster meaningful connections within themselves and between each other, their schoolwork, and their world

found suitable channels for expression and communication of feelings by exploring and articulating their needs through non-verbal language

shown greater capacity to reveal their imagination

felt motivated to engage in classroom activities when given opportunities to express their authentic selves and the skills to communicate

felt valued and accepted and thus had become less inhibited in their engagement with artworks.

### **Conclusion: Implications and Concerns**

Old and insufficient educational systems today that lack the capacity to innovate, need to adapt to new findings regarding cognition and student learning. It is clear from the most recent research outcomes that 'pretty few curricula written for educators focus on art as a media, a non-verbal language' (Sleeter & Delgado Bernal, 2004), and it is both unfortunate and frustrating that today things have changed little. Recognising and admitting that the soul of education is threatened is not enough. All of us involved in one way or another in art education have been criticised for suffering from what Aristotle calls *akrasia*, weakness of the will to speak up, in this case to foster bolder decisions and structural change in the hierarchy of education. Assuming our responsibility, it is high time that we focused on setting alight this small but so significant glow called creativity. This can be accomplished in a variety of ways, arts being one of them. Children who are given the opportunity to express their imagination freely become an asset to the entire world.

Stimulating and fostering creativity through the arts supports children to express warmth, compassion and care, and to cultivate connections with their classmates and other people, and helps to build trusting, safe and inclusive learning communities. More specifically, by increasing children's sense of self-perception and self-awareness, we reinforce social-emotional and character development as the fundamental denominator on which to cultivate their academic knowledge.

At this stage of the research project we have focused on how to motivate children, from the very first day, to express themselves through a non-verbal form of communication that feeds into their natural inclinations, with the outcomes of which calling for continued research attention. We need, however, to prevent further casualties of virtual learning by giving children increasing opportunities to create deep and meaningful personal experiences, as well as enhance mutual understanding in the classroom. It is important and necessary to expand this study and further examine whether the praxis of self-cognition and learning through the arts has the potential to become a generator of social understanding and a key to radical changes in educational systems that tend to a holistic approach to life knowledge.

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**Figures 1-3:** Examples of double self-portraits created by children involved in the project.

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## "The Big Sister Model in Educational Training" The Art of Mentoring and fellow Mentoring" (BSM)

Warda Sada-Gerges (PhD)

### Abstract

In an ongoing search for new models to streamline college training and mentoring, a different training model was developed called the "Big Sister Model". This model was experienced for five years in the kindergarten-training program at the Kay College of education in Israel. Within this model, two female students are trained in each kindergarten: one in the third college year and the other in the second. Together with kindergarten staff, the two students plan the class curriculum and activities. A third-year student, who possess additional one year experience in practicing (veteran), has the opportunity to mentor a 2<sup>nd</sup> year student who also has the opportunity to observe the training of the third year and get more experience. This process provides a good staff relationship and develops interpersonal relations based on social and psychological elements, which points to a huge positive change in behavior, interpersonal relations and its motivations. In peer mentoring, the mentor accompanies, analyzes, supports, instructs, empowers and provides necessary knowledge in the mentoring process. It undergoes a process of empowerment, leadership, and success (Power et Al, 2011). This study is a continuous action research that aims at examining the effectiveness of the "Big sister" training model. When a third-year student mentors a second-year student, her personality will be accordingly empowered. Moreover, she is exposed to another year of the second year training program, once when she receives guidance in the second year and once more as a 3<sup>rd</sup> year student mentor. The second-year student enjoys continuous training throughout the day with a close colleague in addition to the training teacher and pedagogical mentor. In addition, she reveals the contents and skills of the third year allowing her ongoing internalization over time all third-year program. In the effectiveness of the training, we also sought to deeply examine the areas that this model promotes and strengthens as well as, how much the students perceive it as a training benefactor compared to the regular model in a control group.

**Key words:** Peer mentoring, preservice training program, mentor, mentee, college, leadership

### 1. Introduction

**Kaye College** of education is located in Be'er Sheva in southern Israel, and therefore reflects the population in the region. Approximately 50% of students enrolled are Bedouin (males and females) who attend various specializations. Bedouin's society is conservative and controlled by traditional customs and norms, so the existing educational concepts are not always compatible with new educational concepts and sometimes even contradict them. Most of the students are female by time. Bedouin female teacher represents the new educational approach on one hand, and is being fed by the social traditional perception on the other hand. This puts her in a conflict situation and pushes her to preserve the status quo, or to lead to a change in the environment's perceptions (Abu Asbeh, Karakra, A. & Arar, and H. 2007). Empowering her personally and professionally, designs her professional identity to be able to lead and face new challenges and match them to her community needs (Moghadam, 1993; Giddens, 1994; Gilat, 2010).

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<sup>1</sup>Bedouins in Israel are a minority within the Arab minority, part of the population of original Palestinian Arabs who remained in Israel after 1948 war (Abu-Saad, 2001).

**Table 1: Birth and Death Rates among General Population in Israel, Muslims in Israel and Moslems (Bedouins & others) in the Negev, 2008**

Demography characters	Bedouins /Negev	General population /Negev	Moslem population/ Israel	General population/ Israel
Age structure under 14	55.1%	33.8%	41.4%	
Births/1000	43.3	25.9	28.5	21.5
Fertility	6.91	3.68	3.84	2.96
Infant mortality rate/1000	10.6	7.2	7.1	3.9
Gross Mortality Rate	2.2	2.9	2.5	5.4

**Bedouin Female** students usually enroll in college soon after finishing high school. Their ages usually are 18-22. Some of them are already engaged and some got married and have kids. Usually, Bedouin woman education is directed to women's traditional channel of childcare (see Statistical yearbook of Bedouin, 2004, 2013). Thus, most of the Bedouin females study humanities and social sciences in the university and colleges, which allow them to join the teaching field that is perceived as a female profession (Espanyoli et al., 2003). Therefore, Bedouin female students choose this field of specialization at the teacher training colleges, which will prepare them to be teachers in kindergarten or school.

College studies bring the Bedouin female student into a change in personality; enlarging their educational and professional knowledge they require to understand and effectively do their job, they will have an eye and a window to other cultures that affect their social and educational perspectives, and get more qualifications in professional, social and life skills (Sada-Gerges, 2013).

**Table 2: Female Bedouin percentage in Ben-Gurion University and in the Kaye-the Academic College of Education in the years 1998-2002 and 2011**

Year	High studies Institute	Bedouin students	Bedouin female students	% Bedouin female students
1998-2002	Ben-Gurion University	244	<b>54</b>	22.1%
	kaye college	339	216	63.7%
2003	Ben-Gurion University	<b>319</b>	<b>142</b>	44.5%
	Kaye college	<b>430</b>	<b>282</b>	65.58%
2011	Ben-Gurion University	472	311	65.8%
	Kaye college	405	303	74.8%

The curricula in the college are designed to provide adequate and sufficient educational and professional tools to Bedouin female students, which are foreseen to facilitate and support their job as kindergarten and preschool teachers in dealing with the children. However, the curricula do not provide enough personal and social tools needed to promote the necessary changes that female Bedouin students tend to initiate in their conservative community and to stand in front of halts which may be impeded or stop them (Sada-Gerges, 2013).

Training and experiencing the teaching process is a main part of the learning development at the college where the student internalizes the materials and bridges between theoretical learning and experience. So pedagogic training at Kay College is a matter of many challenges. The unique structure of Kaye College and the relationship between the college's visitors requires a constant search for challenges and reforms. However, in order to seek for a new challenge that matched the characteristics of Bedouin society, all the second, third and fourth-year students were recruited in-group interviews in order to hear their opinions and what they thought about what they have had gone through to the college and see on the field. One of the challenges offered was a new training model called the "Big Sister Model, the art of mentoring and peer mentoring" a peer-mentoring program which was suggested to strengthen the training process.

## What is Pedagogic Guidance Program?

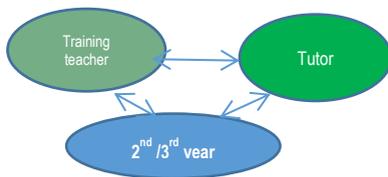


Figure 1 Regular Training Model

According to the Ministry of Education in Israel, College Pedagogic mentoring program is a program in which a college mentor teacher send her / his students to practice the teaching in the field (Walkington, j., et. al., 2001, Hudson, Peter B., 2013). He or she is supposed to provide guidance and feedback to students undergoing teaching in the training classes. In this case, we talk about the kindergarten as a training class. Usually, one or two (mostly) students from the same year (2nd or 3rd-year) do their practicing in training class. Mostly, each student does a separate activity according to the subject and the missions required in the kindergarten. Second-year student usually works in small groups while the 3rd year student is more integrated in managing the circle time activity in addition to the group activities. She is responsible for managing the day's agenda together with the kindergarten staff in several days during the year. The two students work together and separately. At best, a joint work plan is written in cooperation with the teacher and under her supervision. However, it does not always work out. The pedagogical tutor visits the student in the garden, staying for about one to two hours and sometimes more. She watches and follows the student and the children's reactions to the activity she has prepared and performs. Duration of activity is about half an hour. When the student finishes the activity, the counselor asks to sit down with her to give feedback on what she has seen. Sometimes the teacher also joins this feedback session

In the regular training model, the three remaining vertices of the training is a teacher-instructor teacher and a pedagogical instructor (Bates, A.J., Ramirez, L., Drits, D., 2009). Every student has the mentoring circle shown in (Figure1).

## 2. The Big Sister Model, The Art of Mentoring and fellow Mentoring (BSM):

### 2.1 Developing and Implementing Steps

Relying on the known ancient saying of Roman philosopher Seneca: "while we teach we learn", the peer mentor program was suggested to assimilate what is learned because the best way to understand a concept is to explain it to someone else (Paul, A. 2011). Third-year students will be empowered by the fact that they guide their colleagues, explain to them and building a relationship of teamwork. Thus, long-term exposure further, assimilates the contents, and enables the student to better manage his knowledge. This is what BSM project.

According to CaelaFarren, expertise leading people to mastery and creative management, "Peer mentoring is a form of mentorship that usually occurs between a person who has lived through a specific experience (Peer Mentor) and a person who is new to that experience (the Peer Mentee). "Mentors, who may be older or younger than you, are those who know more about a certain area of expertise than you do. Mentoring is a learning and development partnership between a professional, with in-depth experience and knowledge in a specific area and a protégé seeking learning and coaching in the same area" (Farren, C., 2006). The Peer Mentor may challenge the mentee with new ideas, and encourages the Mentee to move beyond things that are most comfortable. Thus, through peer mentoring, the mentor accompanies, analyzes, supports, instructs, empowers and provides necessary knowledge in the mentoring process. It undergoes a process of empowerment, leadership, and success (Power and Al., 2011; Roberts, A. 2000).

### 2.2 Why "Big sister"?

Big sister in the Bedouin or Arab society is a main character in the house after the mother; she helps in cleaning, cooking, and child caring (Al- Hassani. A., 2012). She tries to be a good modeling for her brothers and sisters and take responsibilities that empower her leadership skills. This name of the project was inspired by one of the first year students who described her mentor as a big sister after one year of peer mentoring. Later on, after discussing the project with the college president this name is adopted.

### 2.3 The project avatar:

The very beginning- 1st step:

It began in Fall Semester 2007 with the goal of increasing the internalization of training process during the college studies for the preschool students. It was motivated by two reasons:

During a collective interview, Bedouin female students in the early childhood program students expressed their fears of being sucked into the traditional teaching system when they finish college and join the teaching system in school, as did some of the college-graduated students, who adopted the traditional ways in teaching after finishing their studies in college. This reason led to the question:

Is the college training program and curricula enough for initialization the modern teaching process? How to strengthen the internalization process? It was suggested to adopt a peer-mentoring model. A peer mentor is defined as a resource, a helping hand, a sounding board, a referral service, providing both personal and professional support for students in the early stages of a graduate program. In peer mentoring, the mentor accompanies, analyzes, supports, instructs, empowers and provides necessary knowledge in the mentoring process. It undergoes a process of empowerment, leadership, and success (Power and Al) research (2011). Various studies (Hoban et al., 2009) found that mentoring increases self-confidence, professional growth, self-reflection, and problem-solving abilities among new / novice teachers as well as mentors. It also promotes peer-to-peer collaboration

Moreover, researchers show that mentoring models based on mutual learning are very effective on the process learning, since the mentor, who is a slightly more experienced colleague, and the mentee, together adopt a position of research, engages together in collaborative reflection, and builds new understandings and each one plays an important role in providing personal and professional input in the process Learning (Le Cornu & Ewing, 2008).

Reviewing all the benefits of the mentoring process encourages the director to adopt it accompanying by action research.

At the beginning of the year 2007-2008, the first year grade-training program was stopped according to the new Ministry curriculum. Therefore, there was a need to bridge the courses they study and the practice. This requires assisting the students in preparing and implementing the activities in a real class during the intensive experience week, which takes place twice a year. For this purpose, one 3rd year student (mentor) was recruited to one or two students in the 1st year (mentee). Individual and group meetings were held to discuss the missions. Students (mentor and mentee) organized the individual meetings every two weeks. While the tutor organized the group meetings to reflect the previous steps, goals, and draw the next action map. Part of the students was from the same place so they met more often on different occasions. First-year students (mentee) earned some benefits from this mentoring program:

Getting help in planning and preparing activities in a kindergarten.

Reporting a nice and fast socialization in college.

Meeting and experiencing the educational process in kindergarten.

".. The mentoring process was excellent, it was fun for me, especially when we attended the kindergarten, in which we tried to deal with the children"... (Ahlam)

".. I learn how to make an activity plan". (Ameera)

"...my mentor was responsible and accompanied me in every step I did... she was like a **big sister** (Najat)

"... I recommend this program for any 1st year student..." (Nuha)

"...My socialization process was better in the college. I felt confident" (Hana)

Third-year students (mentors) also earned some benefits from this mentoring program:

They got an extra credit academic point for tutoring.

They earned social and educational skills by guiding the younger students,

They felt leaders and motivated by getting the chance to lead other students.

"...This program made me feel more confident."

".. .Reveal more to my abilities." (Ziqrayat)

"... Acquaint with other (new) people" (Rasha)

"... Feeling I can be a leader..." (Iman)

"... Learn from my mistakes of last year.." (Khadija)

These feedbacks and much more about the program bring the head of the department who was the mentor at the same time to develop it further. The same students in the 1st year asked for additional guidance in the next year. this moves the project to the second stage of intensive mentoring time.



Figure2: Two Tutors Model in BSM

**SecondStage: Two Tutors Model in BSM**

Later in the Next year, the 2nd-year student was engaged with a 3rd-year student in the same class with the same teacher but there were two tutors who agreed to be in the program. Tutor1 of the 2nd year students and tutor2 of the 3rd year students. These two tutors have to be in touch with the training teacher, as usual, and visit their student. The two students, mentor, and mentee spend more time together in the same class: wacht each other, help each other and working together in many missions. Tutors' visits occurred mostly at the same days, which adds more visitors to the kindergarten besides. This somewhat hindered the class teachers to be less welcoming. Tutors and students arrange two meeting along the year to reflect the training process improvements and its benefits on students which move the project to the next promotion stage.

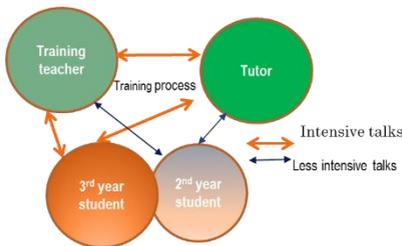


Figure 3: big sister peer- mentoring model

**Third Stage: One Tutor for both students (Mentor and Mentee)**

Later in the following year, the same tutor took two college year groups: 2nd-year students and 3rd-year students. She guides both groups in their curricula that is needed for each college year and bridges the issues. Meetings were conducted in separate groups and for the two groups together according to the subjects, plans and new issues arise during the training time on the field.

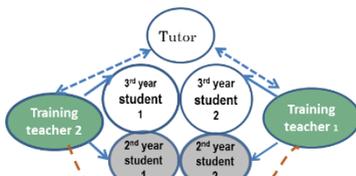


Figure 4: Working unit in two adjacent gardens

**Fourthstage: Working unit in two adjacent kindergarten**

This stage was promoted when field feedback meetings with one class feedback unit: tutor, training teacher mentor, mentee, was taking place and the other class unit join them and share them with their experience which make the two units to have more expanded feedback meeting and the cooperation between the students is expanded to create mentoring team who works together as one unite aiming to contribute to the mentee's training development, the kindergarten curricula, and teamwork. There was a meeting during the day when the teacher assistant takes the class in an activity giving the team to work together once a week to build the final program activities to the next week.

Students usually make contacts with the teachers prior to these meetings to know the upcoming events and issues in the

kinder and plan the ideas to the teachers. This plan of ideas strengthens the relation between all class staff and students. It gave another meaning to the training program

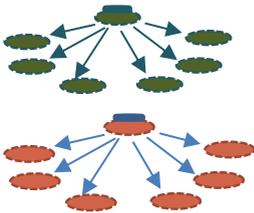


Figure 5: one group member mentoe her group

FifthStage: Creating a networking A In this stage the peer mentoring get another meaning. Every student felt the responsibility to check strengths and weaknesses in his training process. Additionally, all students in the two groups have to fill an anonymous questionnaire about every one in the group as they see them from time to time.

After sorting the points in categories, students take responsibility to work together to strengthen their points by helping each other, everyone with her strong points support others. It can be also showing special activities like telling a story, creative handmade jobs or any different thing she wants her fellows in the group to know. Both groups group members work together to support each other each make easier for everyone (Figure 5).

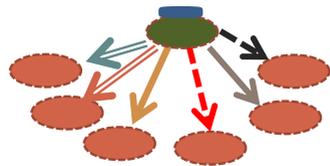


Figure 6:One group member mentors other roup

Later every group can choose one or more from its members to present an issue that she is expert in it to the other group (Figure 6)

These activities rise up during the discussions and add another meaning to the training and teaching process.

This model runs for seven years (it stopped in 2011 and 2016 when its director was in his sabbatical year. During every year two digital questionnaires were delivered to the students. All information discussed with the students that make the entire atmosphere nice and supportive.

### 3. Type of study, purpose, and participants,

This study is a qualitative action research study that follows the training process while implementing "the Big Sister Model (BSM). Since "Action research" requires ongoing collaboration between researcher and students during the training time. The participants were female Bedouin students in the Bedouin department of early childhood program; it starts with 1st-year students at "mentee position" while third-year students were the "Mentor". During the process, it was moved to the 2nd-year student (mentee)], while 3rd-year student keeps their position as mentors. The study Hypothesis leans on the theory that peer mentoring is very efficient in promoting students skills (Power and Al research, 2011). By collaborating students in the research process and involving them in its purpose, which is to promote the training, and mentoring process.

This brings them to be more active in reflecting their steps during their training to bring a promotion and skills enhancement that rise from their needs according to their experience. The tutor or college director get the students involved in reconsideration the type of subjects and decision-making. The range of cooperation varies greatly, from sharing all the considerations related to the research subjects to a more limited level of cooperation. The guiding principle is that the practical people are important partners in the process, whether or not they are major partners, and therefore must be included in decisions concerning their fate and the future. Moreover, providing the feedback is a necessary cognitive need, almost the motivation to understand the field of action and to give meaning to their actions. Moreover, the practice of the practical people mobilizes the level of motivation to cooperate in achieving the goals of the project and intervention feed it (Bridges, D. 2001; Gaventa, J. & Cornwall, A. (2001).

The entire number of participants in the project is 6. of the continuing steps. All the group (students and tutor) make their own group laws and group life, based on the principles of collective decision-making: stages and anchored in the principles of change, (when to meet, what to discuss, How to take decisions, where to implement and how..., through compromise, movement, and freezing (Lieberman, 1980; Forsyth, 1990). According to Fisher, (2003), in peer mentorship, different values and conflicts must be constantly explored and sought to settle them democratically. This action should be taken up to clarify the issues and questions, to their hearts, to decide them and to take decisions that take into account the interests of all those involved in the process (Fisher, K., 2003). The group is the main tool by which changes are made among the participants in the research, and it is used as a decision-making framework. The decision-making process is cooperative and subject to the rules of discussion. Starting from the first steps and continuing forward through evaluating and improving it according to the results and needs. Director, students and evaluating department are involved in getting the results of the new model training process.

#### 4. Study questions

Since peer-mentoring program is a good way to empower students as described before, this study aims to answer the following questions:

Is it possible to put two students from different years in the same training kindergarten in order to improve their experience and empower them?

Is it possible to streamline training by using the "Big Sister Model" (BSM)?

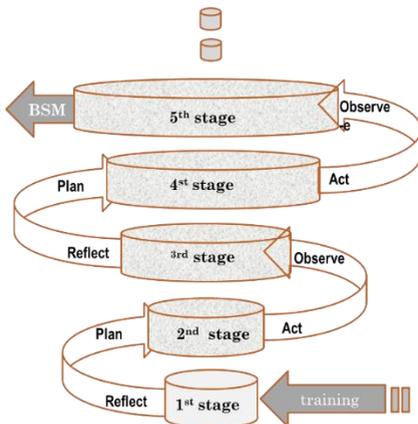


Figure 7: Spiral Promotion, step-by-step BSM

#### 5. Research tool

The main research tools used for this study were the collective interviews group discussion. Besides the results of the monthly student training skills evaluating questionnaires and semester project questionnaire. This questionnaire was created during the implementing of the project to reflect the changes done during the project implementing and its impacts. The research strategy

This research has a spiral strategy that starts from the current situation, which was "the regular training system". By reflecting all answers of the students and as a result of suggestion it was decided to do to "peer mentorship" as a first stage which was promoted according to the student's backgrounds. Then every step comes after a previous step. As was described in chapter ( 2.3 ), it starts from the needs of the students who become the participants and co-researcher.

First stage: interviewing to reflect issues regarding the training system. The main conclusion from these interviews relying on another case study research done in the same place and time (Sada-gerges, 2017); this research has a spiral strategy, which starts from the current situation (The regular training system). Because of the reflection, peer mentorship was suggested at the first stage that was promoted according to the student's backgrounds. Then every step comes after a previous step. As was described in chapter (2.2), it starts from the needs of the students who become the participants and co-researcher (Maynard & Furlong, 1993).

After one year in action and training taking into account all the notes, ideas reflected by the meetings of all the involved participants the program promote to another plan which led to Stage 2 Acting according to the plan and observing reflecting stage 3 and so on (figure7).

## 6. Results and discussion

### 6. I: BSM definition

Using a final questionnaire at the end of the every year to get a holistic description about the BSM was obligatory. Students give their opinion after being in the BSM for one year (as mentee) and for two years (as mentors). Nearly 14 students fill in an evaluating questionnaire every year for the last four years. Of course, this questionnaire will have more changes in the future since this program is dynamic and in a constant promotion. The participant Number in the last four years are 14 per year; 7mentors and 7 mentees (total=56). These phrases were repeated during meetings or previous open questionnaires.

"... My colleague in other training program was full of fears. I was relax..I felt more confident to go to a new class because I know that a big sister will wait for me their second year student speaking about the first day in the field...": Second year student (mentee).

My mentor help me to find out my skills and to use it in the training activities...she is really leader.. I follow her and feel confident regarding the next year activities and context.): Second year student (mentee).

"...To help a peer is nice and gave me more confidence...I started to reveal more to my abilities...To know more about myself, to empower social skills... felt a leader": Third year student (mentor)

".. To be exposed another year to the same context was very good... I review with my mentee the same materials....."Third year student (mentor)

"...we have good team work. Everyone knows what part of the puzzle to put in the comprehensive picture/plan..." Third year student (mentor)

"My other colleague in other training programs works good but not relaxed, planned and well-structured like our team in the Big Sister Model": Third year student (mentor).

These phrases emphasize the contribution of the BSM. They were repeated almost in all interviews and questionnaires.

#### 6. I.1-Definission the "big sister model (BSM):

About 44 (20 mentors and 24 mentees) of 56 (78.6%) choose to define the model as it literally sounds and as it was suggested from the beginning (a). It can be explained that participants are still influenced by the Bedouin culture in defining the elder sister role at home and choose to use the expression to express the similarities between the two roles. This means how much the participants see the importance of this role and it implies that the relation between them is very close like sisters. They share emotional moments together as well:

"... We bring breakfast to eat together..." "I was in her marriage the spite that it is away from my home..." she makes me a happy birthday surprise sharing the kindergarten staff..", "I took her opinion about choosing my fiancée..." 2.Cooperation between the two sisters. Also phrases in 6.II.b (*I was with here in many things. Helped her to use books in the library, how to arrange hair cover, how to use excel to make charts*)

**6. I.2 The cooperation between the two sisters.**

The big majority of the participant seems to agree that the cooperation between the two sisters takes place with all the activities as shown in the previous table (PartI.2). A full acceptance(100%),i.e. all students (28) of mentors and 28 of mentees, was to the phrase “planning activities together” because it seems that being together in the field and close to the training teacher encourage them to use their time and prepare the activities. All plans should be involving the peers together because there is a comprehensive weekly plan leaning in every peer duties in the kindergarten so they have to match activities together. This also leads to the other phrase “mutual support” (Part2.g). Being together and planning one plan obligate them to support each other so their plan will succeed.

Other phrases also for major acceptance. The small differences might be because of everyone opinion about how much the activity is perfect.

**6. I.3. The contribution to the model**

Sharing “decision-making” and “designing the future steps” (6.I.3 I,j) were unexpected issues. All the participants seem to feel contributing to the Model and like that. They were 6.of the discussions about improving the model or improving the tutor way of training the trainersand how to manage the relations between all partners. Sharing and being involved give satisfactory to the peers and make them responsible and committed to the program.

**Table 4: BSMdefinition**

6.I	Defining the model:	Mentor (28)	Mentee (28)
6. II: 1. Point out how you define the "big sister model (BSM)".	a. An older sister supporting a younger sister, or	20 (71.4%)	24 (85.71%)
	b. Two sisters: one experienced person and one less experienced person who help one another.	8%	4%
2. How much you agree with these phrases about the cooperation between the two sisters.	c. Planning activities together	28 (100%)	28 (100%)
	d. Consultation	22(79%)	25 (89 %)
	e. Performing activities and supplementary activities	25 (89 %)	27(95 %)
	f. Mutual feedback	24 (86%)	28(100%)
	g. Mutual support	27(95%)	27(95%)
	h. Experience reflection	26(92.%)	26(92 %)
3. point out what is your contribution to the model	i. Sharing in making decision	28 (100%)	28 (100%)
	j. Designing the future steps	25 (89 %)	22(79%)

**Mentor evaluation:**

6. II.a. BSM Contribution to the Mentee / professional skills

Mentors evaluate their contribution to professional skills of the mentee (Daloz, L. A. 1990) in Table 5 6II.a. Half of them give score 5 (very strong) and 32% give score 4 (strong) to the phrase “*Development of self-confidence of the mentee in the kindergarten*” (II.a.1). This means that these mentors really think that they are a help to the mentee by supporting them to be more confident. Since, we speaking about training and teaching, this, of course, related to the other phrase (II.a.6): “*How to implement an activity*”. Knowing what to do and how, in the training field, means to be confident. Thus, mentors understand they are supporting to the self-confidence. The same but fewer mentors seem to give the strong voting is what they give to the phrase (II.a.2): “*How to develop a conversation with the children in the group*”. Talking and managing a conversation is very important to the mentee’s professional skills especially when they work with a small group and introducing the activity to the children. Since the mentor was in this position in the previous year this is a strong point for her in knowing how to evaluate her support. Not all mentors have the ability and not all of them feel very good to support this skill or to train this skill. They know that the mentee has one more year of training before going out to the field. The phrases (6.II.a.) (7. *How to treat children*; 8. *How to deal with learning problems*; 9. *How to deal with behavioral problems*) are skills in which mentors cannot give full support on them because they are also still training these skills. However questionnaireanswers show high scores, no. 4 (strong) and 5 (very strong). Most mentors (more than60%) think they

nicely supports the mentee. It is certainly very good and of course, it helps the tutor (the college mentor) to strengthen these skills better.

Phrase (6.II.a.10), (*Give constructive criticism and make a reflection*), Most mentors (64%), give high score or degree to the reflection they could give to mentee. Making a reflection to any activity put the reflector in a thoughtful and evaluating position that also enhance his way in making these activities. The phrase (6.II.a.11) (*Be a modeling person*), give the full picture about the responsibility that mentor feel commitment towards the mentee and the BSM by being a model person and try to give the good picture about the

**Table 5: Mentor evaluation**

6. II. Mentor evaluation		28				
II.a	BSM Contribution to the Mentee / professional skills Point out the following statements that you think you influenced on the mentee. Please rate from 1 (very weak) to 5 (very strong)	1 weak	2	3	4 strong	5 very strong
	1. Development of self-confidence of the mentee in the kindergarten	0	0	5 (18%)	9 (32%)	14 (50%)
	2. How to develop a conversation with the children in the group	0	0	4 14%	8 (29%)	14 (50%)
	3. Planning activities in the kindergarten	0	0	0	20 (71%)	8 (29%)
	4. Adapting activities to the subject, age and level of children	0	0	5 (18%)	9 (32%)	14 (50%)
	5. Preparing and creating ideas for activities,					
	6. How to implement an activity	0	0	0	14 (50%)	14 (50%)
	7. How to treat children	0	0	9 (32%)	9 (32%)	10 (36%)
	8. How to deal with learning problems	0		8 (29%)	7 (25%)	13 (46%)
	9. How to deal with behavioral problems	0	0	9 (32%)	14 (50%)	5 (18%)
	10. Give constructive criticism and make a reflection	0	0	9 (32%)	9 (32%)	10 (36%)
	11. Be a modeling person	0	0	0	10 (36%)	18 (64%)
II.b	Are there other things that you think you influenced the mentee during the BSM? ...I was with here in many things. Helped her to use books in the library, how to arrange hair cover, how to use excel to make charts.....					
II.c	BSM Contribution to Mentor: Evaluate how BSM influenced on you Rate from 1 (very weak) to 5 (very strong)	1	2	3	4	5
	1. Self-confidence	0	0	0	4 14%	24 (86%)
	2. Development of training or mentoring skills	0	0	0	14 (50%)	14 (50%)
	3. Sense of leadership	0	0	0	13 (46%)	15 (52%)
	4. Feeling more responsible towards the kindergarten	0	0	0	14 (50%)	14 (50%)
	5. Improving observation skills	0	0	0	4 14%	24 (86%)
	6. Accept constructive criticism from the little sister	0	0	0	6 (21%)	22 (79%)

	7. Less stress created with the class partner comparing with the same level partner	0	0	0	3 (10%)	25 (89.28%)
	8. Assimilation of various topics and content	0	0	0	0	28 (100%)
II.d	Are there any more other things that you think you got or developed from your participation in the BSM? It was important to us to see the activities, which we work on it last year from another point of view again and evaluate it ... amazing					
II.e	Do you regret being in this program? If you come back one year, will you choose this program or the other program? In the beginning, I thought it will be very hard, but I want to be because I appreciated my mentor and I want to be good mentor as well. This is the best thing ever happened to me in college.					

## 6. II.c BSM Contribution to Mentor

Like mentees, mentors speak about improving personal and social skills. Being “*self-confidence*” can come true by being responsible to show her knowledge to the mentee. This is different from the regular program when the two peers or students from the same college year (grade). In most situation even if they are best students and best friends somesilent competition risein front of the training teacher and the tutor which makes one of them in most cases looks “bright” who is capable and know everything and the other less capable. In the BSM program, any mentor whatever she is bright or not, will be superior to her mentee by knowledge. First, she was in the second year and know its materials;second, she was exposed to the third year materials by being watching and working with her mentor in the same program and the same class, which make her more, relax and confident. She is experienced with one more year and knows what is she going to do in the current year, all this make her feel able to lead and develop mentoring skills (phrases II.c.1-3). Being confidentallow also her to “accept constructive criticism” from her mentee because she has been their last year and understand what her mentee can get from the observing her (phrase II.c.6).

## 6. III Mentee Evaluation

### BSM Contribution to the Mentee / professional skills

Looking at table 6 allowing having a comprehensive idea about the contribution of mentoring process on mentee in the BSM from the Mentee point of view. Themajority of students (mentees) give high score to the “phrases III.1-12” which expressing the goals of the BSM. These goals are known to the mentees as something to be reached during the program to enhance the training process and its impacts. Which means they thing that they achieved the BSM goals. All mentees think that this program built self-confidence regarding the professional skills (89% scors5, 11% scores 4). The same in developing activities in the training class (89% scors5, 11% scores 4). Almost the same while talking about “Preparing and creating ideas for activities”. Being with someone supporting and more experienced improve the personality and the professional skills (Power and Al., 2011; Roberts, A. 2000).

The lowest scores that the Mentees give in evaluating what they got from the BSM where moderate scores to the phrases (3: not high not weak):

“How to develop a conversation with the children in the group” (21%), “How to treat children” (18%), How to deal with didactical problems” (18%), “How to deal with behavioral problems” (21%). All of these phrases talk about the relation preserve student- child. These skills come from the experience and being more time with children to assimilate the way to treat the various characters of children.

These mentees have only one-year experience with children working mostly in a small group. These skills need more experience to be improved them. Other students who are the majority, think that they got good skills.

An impressed impact of the BSM on mentees is the reflection skills. Reflection aims to explore how improvement can come from collecting evidence training. Beingpart of the weekly reflection meetings: with the tutor, the mentor, the training teacher, give them the modeling reflection,

**Table 6: Impact from the peer mentoring (BSM)**

6.III: Impact from the peer mentor (Second year responses)	Strong 5	4	3	2	weak 1
1. Development of self-confidence	25 (89 %)	3 (11%)	0	0	0
2. How to develop a conversation with the children in the group	8 (29%)	14(50%)	6 (21%)	0	0
3. Planning activities in the kindergarten	25 (89 %)	3(11%)	0	0	0
4. Acclimating activities to the subject, age and level of children	14 (50%)	6 (21%)	8 29%	0	0
5. Preparing and creating ideas for activities,	6 (21%)	22(79%)	0	0	0
6. How to implement an activity	22 (79%)	5 (18%)	1 (3%)	0	0
7. How to treat children	6 (21%)	17(60%)	5(18%)	0	0
8. How to deal with didactical problems	6 (21%)	17(60%)	5(18%)	0	0
9. How to deal with behavioral problems	14(50%)	8 (29%)	6 (21%)	0	0
10. Give constructive criticism and make a reflection	26(92. %)	7 (2%)	0	0	0
11. Be a personal example and modeling	26(92. %)	7 (2%)	0	0	0
12. be exposed to the next year curricula by watching the mentor activities	28 (100%)	0	0	0	0

All of answers show how much the students are satisfied from their mutual contribution. Most answers are strong to very strong which emphasize the sayings or the phrases as a stable statement with a “prove” regarding the BSM contribution.

## 7. Conclusions

Peer mentoring in the BSM adds another level in the social relation between students who practice teaching in the same class. There was less stress between the couple (the two preservice student), because they behave as a one learning-unit and they working as a team group to promote a shared project. The well-constructed professional development programme on BSM-mentoring promotes the quality of mentoring for enhancing preservice teachers' (Hudson, P.; Spooner-Lane, R.; Murray, M., 2013). Both of the students felt more self-confident in behaving during the training process; promote many skills: constructive reflection, team working preparing activities. They were exposed to another year training curricula, the second-year students learn about the next year curricula by watching the 3<sup>rd</sup> year training activities during the training day. The 3<sup>rd</sup> year students examine the second year-program curricula by mentoring and watching their mentees, which add assimilation and internalisation to the learning process. third year mentors add leading skills to what they promot during BSM (Grierson A. L.; Cantalini-Williams, M., Wideman-Johnston, T.; Tedesco, S. 2011). Besides the nice and supportive atmosphere of the team working and feeling relax and motivated to work together.

## 8. Recommendations

To continue in this program adding evaluation points or stations for participants skills with contrasting to other students from other training programs.

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## A Study on the Evolution of Crowdsourcing Websites

**Evangelos Mourelatos**

Department of Economics, University of Patras

**Nikos Frarakis**

Department of Economics, University of Patras

**Manolis Tzagarakis**

Department of Economics, University of Patras

### Abstract

Today hundreds of millions of Internet users are using crowdsourcing platforms either to work to an online job as workers, or as a model of problem solving and production as requesters. This growing workforce makes it necessary from the perspective of the online platforms, to fully understand the factors which contribute on this emerging and innovative “online labor”. We present a study comparing how crowdsourcing platforms have evolved over two time periods. The study explores in addition the effect of several factors of such websites on their traffic data and attention seeking. The results show that several website’s characteristic are strong indicators of its attempting to get and optimize potential workers’ or requesters’ attention.

**Keywords:** Crowdsourcing, Online labor, Websites Review, Alexa Rankings, Regression Models

**JEL Classification:** A19, C14, J49, O10

### Introduction

Since Jeff Howe introduced the term “Crowdsourcing” in 2006 for the first time in history [3], crowdsourcing has become a pivotal part of today’s Internet focus where everything is designed to take advantage of the networked world. Thousands of workers every day categorize images; write articles or take part to several kinds of online tasks. Crowdsourcing, as a term, is a strategic model to attract an interested, motivated crowd of individuals capable of providing solutions superior in quality and quantity to those that even traditional forms of business can [1]. Today the term “Crowdsourcing” is used today as equivalent to online labor. With the growth of online platforms with crowdsourcing and crowdfunding services like Amazon Mechanical Turk and Kickstarter respectively, a huge work force and a large knowledge base can be easily accessed and utilized to tackle problems requiring human intelligence. Users have only recently been recognized as an alternative source of new product ideas. Whereas some have attributed great potential to outsourcing idea generation to the “crowd” of users (“crowdsourcing”), others have clearly been more skeptical [2]. Given the success of the crowdsourcing paradigm, we expect that this field will continue to grow rapidly. It’s not outsourcing, it’s crowdsourcing [3].

The continuous development of these online platforms providing crowdsourcing and crowdfunding services, in general, impose the need for continuous and responsible destination management in order to achieve and maintain an appropriate level of sustainability and competitiveness of this new way of online labor. In our study, we use Alexa rankings data as a measure of a website’s attention seeking indicating its level of sustainability and competitiveness. We determine the factors that affect and to which degree the ‘combination’ of the estimated average monthly unique visitors and the estimated number of page views incurred in these online platforms based in our two time-period study [4].

### Related Work

In recent years, many studies have elaborated proposals for defining and measuring the quality of work in crowdsourcing environments [5], while others focused on the level of engagement and motivation of the participants called “workers” in these online tasks [6]. Due to these issues, crowdsourcing has attracted the interest of researchers from various fields.

Many research efforts have as a focal point the development of several mechanisms in order to make possible the quality control and cheat detection [7], while others aimed at answering important questions in the field (e.g. What tasks are most paid? or When are the users of my platform active?) by analyzing the anatomy of a crowdsourcing platform [8]. Nevertheless, an online platform is in fact a type of online business and all businesses aim at improving their conversion rate in order to have sustainability and competitiveness. Yet, it is unclear, which factors enact on a crowdsourcing website's effort to attract targeted traffic, so as to achieve financial success.

This paper aims at investigating how crowdsourcing platform characteristics correlate with their traffic and by extension to their ranking as reported by Alexa. The overall goal is to investigate how crowdsourcing platforms change over time in order to provide their services to a greater user base. This study builds and extends earlier research that aimed to provide a first systematic review of such kind of sites [9].

## **Data Analysis**

### **Data source**

Data regarding the traffic of the studied crowdsourcing websites were collected from alexa.com in values of global ranking, while the data regarding their provided services and mode of operation have been collected by visiting each site included in the survey. The study considered the Alexa top-ranked one hundred crowdsourcing platforms for two periods; January of 2014 to January of 2015 (which from now on will be referred to as year 2014) and January of 2016 to January of 2017 (which from now on will be referred to as year 2016). Alexa was chosen as the preferred site of web traffic data because, related to Webometrics i.e. the process of measuring various aspects of websites that include their popularity and usage patterns, Alexa has been shown to outperform other similar services such as Google Trends for Websites and Compete (Vaughan and Yang 2013). We gathered the data the exact time period in order not to have traffic seasonality issues, so that we can make safe conclusions through the comparison. Last but not least, we didn't include in our study the period of January of 2015 to January of 2016, because we wanted our comparison study to reflect all the websites' changes occurred since 2014. For that reason, we needed an unobserved time period in order the websites' change process to be completed.

### **Methodology**

We selected a number of popular websites offering crowdsourcing services for review. The same methodology was used to select the crowdsourcing sites for both time periods (2014 and 2016) and was based on a two scaled selection methodology. Initially, we used the most three popular search engines – Google, Bing and Yahoo!Search - to search for crowdsourcing online platforms that stakeholders are likely to encounter. For the 2014 dataset, all searches were performed from 1 January to 30 April of 2014 and for the 2016 dataset searches were conducted from 1 August to 30 November using the same set of keywords ("crowdsourcing", "crowdfunding", "online platforms"). The final list of crowdsourcing sites was compiled by selecting sites that met specific criteria that included:

Language: All crowdsourcing websites reviewed had to present their services in English. This facilitated the work of assessing services provided and comprehending their use.

Presentation of the type of service provided i.e. type of tasks accepted: Websites had to explicitly report all the necessary information related to the types of tasks it accepts in order to make their review possible.

All information needed for completing the review had to be offered. Many websites may not disclose all information required and such websites were excluded from our analysis.

Based on the above criteria a final list of crowdsourcing sites was compiled and for each site its Alexa ranking were retrieved. For each site the Alexa rankings for the years 2014 (Alexa 2014) and 2016 (Alexa 2016) were collected resulting in the top 100 crowdsourcing websites as ranked by Alexa. The selected websites were assessed against a number of criteria, which aimed to capture the site's characteristics. In particular, these criteria cover technical as well as operational features. Below we present the criteria in greater detail:

### **Type of service provided**

The term "type of service provided" refers to the type of tasks the site specializes in. Services provided by websites were grouped into the following ten categories [10]:

- a. Microworks/Simple tasks, which are considered the smallest unit of work in a virtual assembly line, e.g. categorisation, tagging, Web research, transcription, etc.
- b. Crowdfunding, which is the collection of finance from backers (the crowd) to fund an initiative (project). Crowdfunding has its origins in the concept of crowdsourcing, which is the broader concept of an individual reaching a goal by receiving and leveraging small contributions from many parties. Crowdfunding is the application of this concept to collect funds through small contributions by many parties in order to finance a particular project or venture
- c. Mobile crowdsourcing services, which is concerned with issues related to applications for mobile phones.
- d. Content Generation services, in which content is generated by the crowd. This method is becoming increasingly popular because it offers an alternative to content creation and content curation.
- e. Data Entry services, which are projects using many different *modi operandi*, e.g. Excel, Word, electronic data processing, typing, coding and clerical assignments.
- f. High knowledge intensity services, which are specialised services in specific fields such as health, law, insurance, consultancies, data management, market research and cloud applications.
- g. Program developing services, which focus on the design and implementation of software.
- h. Web and graphic design services, which use the crowd contribution in the creation of Web and artistic projects.
- i. Translation services, which target content translation tasks from one language into another.
- j. Product reviews and testing, in which reviews and tests are requested.

### **Quality & Reliability**

This variable is used to capture the methods the website employs to ensure the quality of work provided by workers. It also includes methods that the platform employs to prevent cheating and ensure workers' reliability [11].

### **Region**

Indicates the region the platform is operating in [12]. Websites were classified in one of the following regions: North America, Europe, Australia and Asia.

### **Online Imprint**

This variable reflects the strategies a platform uses for digital marketing and includes three categories; social networks, video streaming-sharing communities and blogs/forums [13].

### **Descriptive Statistics**

The study essentially consists of two databases. In particular, we examined the top 100 crowdsourcing websites of 2014 and 2016 respectively, based on the aforementioned criteria. It is noteworthy to point out that 74 websites in the 2014 list were absent in the 2016 database because either they closed; or they changed their field of service. In the reviewed websites 57.47% remained in the top 100 list in the reported time period while 42.53% of these for several reasons appear to exit the top100 listings. With respect to the latter, 19% of them have ceased their operation, 7% have changed its business scope and 5% have merged with other crowdsourcing websites. Table 1 gives an overview of the variables collected for each reviewed crowdsourcing website. It shows also summary statistics for each variable for the set of reviewed websites.

As it is shown from the following table 1 most of our variables are binary (i.e. termed 0 and 1). Thus, for example regarding the crowdfunding websites, are coded with "crf" and the mean shows that 33.5% of our sample is coded with "1", meaning that on average in both periods of our study one out of three online platforms provided crowdfunding services.

**Table 1. Summary statistics**

Variables	Code_Name	Obs	Mean	Min	Max	Std. Dev.
Alexa Ranking of 2016 (Dependent)	Inalexa_16	174	10.726	6.516	13.816	2.070
Alexa Ranking of 2014	Inalexa_15	174	10.747	6.261	13.678	1.948
Microworking websites	mwk	174	.175	0	1	.381
Crowdfunding websites	crf	174	.335	0	1	.473
Mobile Crowdsourcing sites	mcw	174	.050	0	1	.218
Content Generation websites	cntg	174	.085	0	1	.280
Data Entry websites	dte	174	.065	0	1	.247
High Tech Services websites	hts	174	.200	0	1	.401
Product Development websites	pdvp	174	.060	0	1	.238
Design Services websites	dsns	174	.130	0	1	.337
Translation Services websites	trs	174	.045	0	1	.208
Products' Review websites	rtp	174	.060	0	1	.238
No Quality Assurance	qr1	174	.300	0	1	.460
Reviews & Ratings	qr2	174	.355	0	1	.480
Workers Profile	qr3	174	.465	0	1	.500
Skills & Practice Tests	qr4	174	.140	0	1	.348
Spamming Tools	qr5	174	.270	0	1	.445
Websites from North America	NorthAmerica	174	.685	0	1	.466
Websites from Europe	Europe	174	.215	0	1	.412
Websites from Australia	Australia	174	.030	0	1	.171
Websites from Asia	Asia	174	.070	0	1	.256
No Imprint	NoImpnt	174	.040	0	1	.196
Social Communities	Soc_Com	174	.125	0	1	.332
Video Communities	Vid_Com	174	.065	0	1	.247
Blogs or Forums	BlogsForums	174	.770	0	1	.422

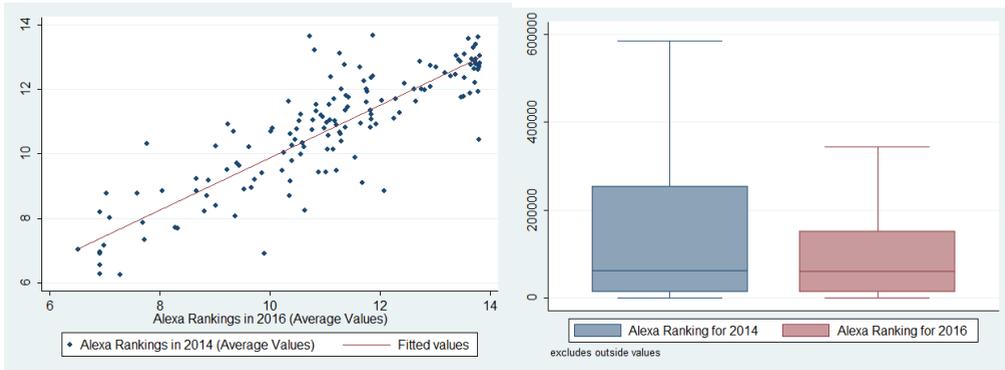
Source: Dataset with results drawn from alexa.com. Author's calculations.

Note: Alexa rankings are on logarithmic scale.

Furthermore, our study contains a total 174 unique crowdsourcing websites in both years of research. In order to investigate what changes have occurred in the 2014 and 2016 rankings drawing additionally some first conclusions in the evolution and preference of such kind of platforms we grouped the variables in six major categories: Alexa rankings, websites' quality assurance mechanisms, Type of services provided, Region of origin and Online imprint) and compared the how these groupings changed over the two year period (2014-2016).

More specifically, with regard to Alexa rankings, we crawled from alexa.com the average Alexa ranking values of 2014 and 2016 of each crowdsourcing platform. The results showed a positive relationship between them (figure 1), a statistically significant difference on the average values at 1% (table 3) and similar medians but different distribution characteristics (figure 1, box plot). This means that, a crowdsourcing online platform that was in high-ranked places in 2014 preserved its traffic over time and remained in similar ranking place, while in general we can observe that the values of alexa rankings in 2016 has a higher concentration around the mean and less extreme values (figure 1, Box Plot).

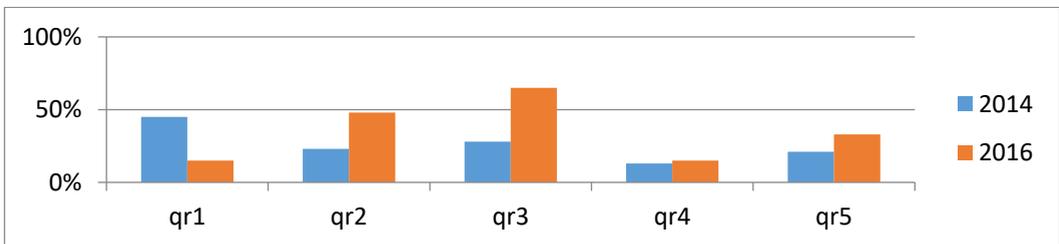
Figure 1 shows the relationship and the distribution of the values of alexa ranking over time. In the left graph y-axis measures the alexa ranking of our sample in 2014 values and x-axis in 2016 respectively. In the right graph y-axis has as a unit of measurement values of alexa ranking.



In addition, with respect to the quality mechanisms that the crowdsourcing online platforms offer as a tool for controlling the quality of responses and detecting cheats, the analysis revealed some interesting results between the two reviewed periods (table 2 and figure 2). First, the percentage of websites that don't provide any cheat detection mechanism has declined from 45% to 15% in the studied time period, while the percentages of all these type of quality control mechanisms being provided by the crowdsourcing websites have been steadily rising, with the percentages' difference being statistically significance in most cases (table 2).

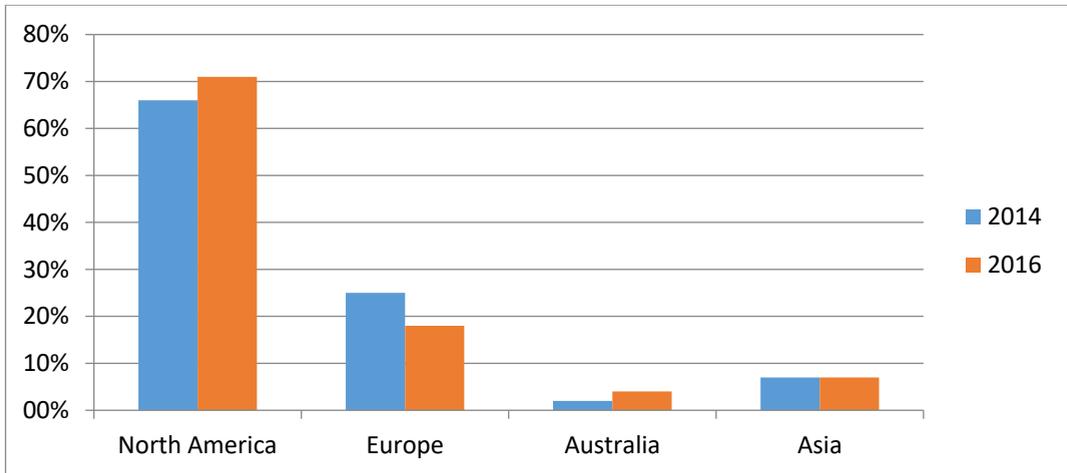
It is known that, commercial crowdsourcing applications suffer from workers, who try to submit invalid or low quality work in order to maximize their received payment while reducing their own effort. Our study revealed that, despite the success of many crowdsourcing platforms, it is only the last 2 years that they realise the processes that lead to high quality output by espousing several quality control mechanisms. It is known that, the strategies used to assure high quality depend largely on the tasks and outputs of crowdsourcing projects and for that reason many researchers have already introduced several types of quality control. In our research we categorise them into four main groups. "Reviews & Ratings", meaning whether or not a crowdsourcing platform gives the opportunity to the requesters to find the best worker for his task-needs, based on the reviews and ratings of the worker's job activity. "Workers profile", meaning whether or not a crowdsourcing platform provides on requesters, a profile for each worker containing demographic characteristics. "Skills & Practice Tests", meaning whether or not a crowdsourcing website gives the opportunity to the requesters to pre-select workers and through specific tests to understand which workers are most suitable to their crowdsourcing job. "Spamming Tools", meaning whether or not an online crowdsourcing platform has embodied in their crowdsourcing process automated methods to aggregate a user's contributions in a way that promotes high quality output [14].

Figure 2 shows the percentages of "quality assurance" mechanisms over time



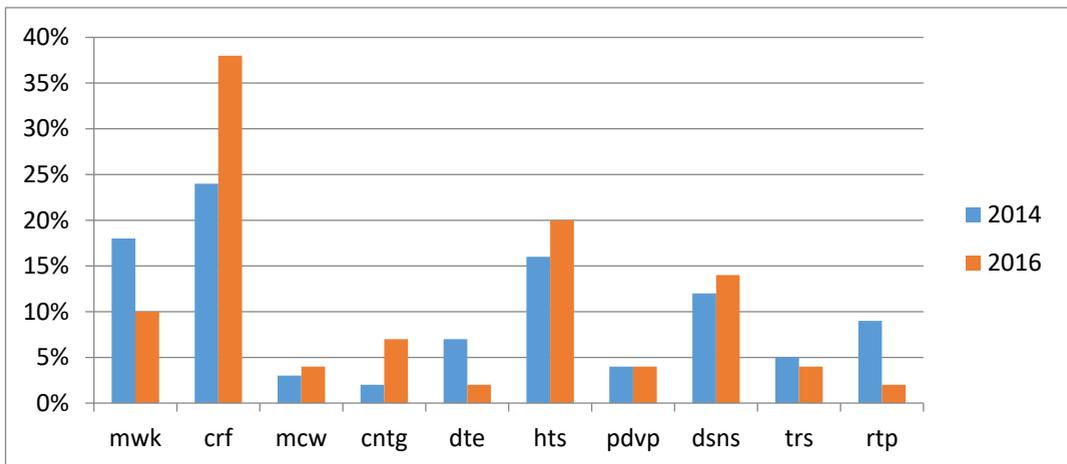
Moreover, concerning the websites' region of origin, we grouped both databases in four major groups, considering the origin country, North America, Europe, Australia and Asia. Figure 2 shows that from 2014 to 2016, a small increase of the percentage of these websites in North America (66% vs. 71%), in Australia (2% vs. 4%) was observed, while in Asia the percentage remained stable (7%) while in Europe a decrease was observed (25% vs. 18%). Our results showed that, crowdsourcing despite its web-based aspect; its process (i.e. its key activities, incentives of participation and structure), is strongly related to several geographical characteristics such as the platforms' geographical origins [15].

Figure 3 shows the percentages of websites' region of origin over time.



Concerning the websites' type of services provided, the review pointed to some noticeable outcomes. Figure 4 presents the major changes that occurred over the reported time period.

Figure 2 Comparison of websites' type of services provided over time



In particular, the number of websites supporting crowdfunding has increased significantly in the reported time period (24% vs. 38%). Similarly, the percentages of websites providing mobile crowdsourcing (3% vs. 4%), content generation (2% vs. 7%), high-tech services (16% vs. 20%) and web & graphic design tasks (12% vs. 14%) have increased in 2016 when compared to 2014. On the other hand, the percentage of websites offering microtask services (18% vs. 10%), data entry services (7% vs. 2%), translation (5% vs. 4%) and review & testing products (9% vs. 2%) show a decrease when compared to 2014. Websites with programming services remained stable (4%) over the reviewed time period.

Table 2 also shows the websites' online imprint over time. The term "online imprint" is used to denote the strategy that a website follows with respect to their digital marketing. In 2016 the percentage of websites using social networks such as Facebook and LinkedIn as well as video sharing sites such as Youtube are increased. A minority of the reviewed websites (2%) does not employ any digital marketing strategy in 2016.

**Table 2. Independent Samples t-tests for equality of means of websites' Alexa Rankings, Quality Assurance Mechanisms & Online Imprint, collected in 2014 and 2016 respectively**

	Year of Research		Difference [2]-[1] [3]	t-test  t  [4]
	2014 [1]	2016 [2]		
Alexa Rankings	124.711	201.716	77.005	4.36***
<i>Websites' Quality Assurance</i>				
No Quality Assurance	.45	.15	-.30	4.87***
Reviews & Ratings	.23	.48	.25	3.81***
Workers' Profile	.28	.65	.37	5.62***
Skills & Practice Tests	.13	.15	.02	0.41
Spamming Detector Tools	.21	.33	.12	1.97*
<i>Websites' Online Imprint</i>				
No Social Network	.11	.02	-.09	2.61***
Facebook	.83	.88	.05	1.01
Pinterest	.09	.21	.12	2.40**
Youtube/Vimeo	.19	.49	.30	4.70***
Linkedin	.41	.52	.11	1.56
Twitter	.84	.89	.05	1.03
GooglePlus	.40	.39	.01	0.14
Blog or Forum	.71	.83	.12	2.09**

Source: Dataset with results drawn from Alexa.com. Author's calculations.

Note: Statistical significance: \*\*\* 1%, \*\* 5% and \* 10%.

In order to have a better picture of the evolution of crowdsourcing platforms over time, we conducted a cross-tabulation analysis. Table 3 presents the relationship between each websites' quality assurance mechanisms and where they are hosted. It is noticeable that in 2016, all quality assurance mechanisms except skills and practise tests (qr4) are increasingly being adopted by crowdsourcing online platforms located in North America, Europe and Australia. On the other hand, crowdsourcing websites located in Asia emphasize more on providing information about their workers through worker profiles (qr3 is seen in 85.7% of the websites in 2016). This differentiation in preference of quality control mechanisms in Asia located crowdsourcing websites may be explained by the fact, that crowdsourcing in Asia is at an early stage of adoption and crowdsourcing in Asia is just warming up [16]. Yet, the general increase of the adoption of quality assurance mechanisms by the crowdsourcing websites over time indicates that while crowdsourcing platforms are maturing, online platforms realize the importance of "quality control" and "cheat detection" mechanisms [17].

**Table 3. The relationship of a website's region and its quality assurance mechanisms over time.**

Region \ Years	2014				2016			
	qr2	qr3	qr4	qr5	qr2	qr3	qr4	qr5
North America	37.1	25.7	20	40	42.3	59.2	16.9	35.2
Europe	37.5	62.5	25	25	61.1	72.2	11.1	33.3
Australia	0	100	50	0	75	100	0	25
Asia	75	25	0	0	57.1	85.7	14.3	14.3

Source: Dataset with results drawn from Alexa.com. Author's calculations.

Note: A website may have more than one quality control mechanism.

Unit is the percentage of websites that meet the current criteria

Concerning the relationship between the type of services being provided by crowdsourcing websites and their location and quality control mechanisms, our analysis show some significant results (table 4 & 5). In 2016, a major increase of

crowdfunding websites (crf) in all regions is observed while websites focusing on microtask (mwk) services are severely limited. Moreover, it can be observed that, over time, the percentage of websites providing mobile crowdsourcing tasks in Asia and Australia remain non-existent, while in Europe and North America appear with very low percentage. This is rather counterintuitive considering the use of smartphones. With respect to other type of services, changes are observed which are summarised in table 4.

**Table 4. The relationship of website region and its provided type of services over time.**

		Type of Services (%)									
Region		mwk	crf	mcw	cntg	dte	hts	pdvp	dsns	trs	rtp
2014	North America	28.6	28.6	4.3	12.9	17.1	17.1	7.1	11.4	4.3	11.4
	Europe	26.7	26.7	6.7	20	13.3	26.7	0	6.7	6.7	13.3
	Australia	0	0	0	0	50	0	50	100	0	0
	Asia	75	0	0	0	0	0	0	75	25	0
2016	North America	7	36.6	5.6	7	2.8	22.5	4.2	12.7	2.8	2.8
	Europe	22.2	44.4	0	11.1	0	16.7	0	5.6	5.6	0
	Australia	0	25	0	0	0	0	25	75	0	0
	Asia	14.3	42.9	0	0	0	14.3	0	14.3	14.3	0

Source: Dataset with results drawn from Alexa.com. Author's calculations.

Note: A website may provide more than one type of service. Unit is the percentage of websites that meet the current criteria.

Regarding the websites adoption of quality control mechanisms and their provided services, table 5 shows that in 2016 websites have a more specific orientation in quality mechanisms depending on the type of the provided services. More specifically, in 2016 websites focusing on microtasks (mwk), crowdfunding (crf), software development (pdvp) and web & graphic design tasks (dsns) offer only basic tools of quality control and cheat detection, namely via publishing the worker's history and job success. The review also indicates that, in 2016 compared to 2014, websites focusing on mobile crowdsourcing have stopped providing trivial quality assurance mechanisms at all and have moved on using other forms. This may indicate that such kinds of mechanisms are ineffective in such tasks.

**Table 5. The relationship of Website quality assurance mechanisms and its provided type of services over time**

		Type of Services (%)									
Quality Mechanims		mwk	crf	mcw	cntg	dte	hts	pdvp	dsns	trs	rtp
2014	qr2	42.1	16.7	50	55.6	50	33.3	71.4	71.4	0	33.3
	qr3	26.3	33.3	25	22.2	25	66.7	14.3	42.9	33.3	16.7
	qr4	31.6	0	50	33.3	41.7	11.1	0	0	33.3	33.3
	qr5	47.4	50	50	55.6	58.3	0	28.6	14.3	33.3	50
2016	qr2	60	42.1	0	28.6	50	55	25	64.3	50	50
	qr3	70	78.9	0	28.6	50	55	75	85.7	25	50
	qr4	50	0	0	14.3	0	20	25	21.4	50	0
	qr5	60	36.8	0	42.9	0	35	25	21.4	25	0

Source: Dataset with results drawn from Alexa.com. Author's calculations.

Note: A website may provide more than one type of service and have more than one quality control mechanism.

Unit is the percentage of websites that meet the current criteria.

The analysis of the crowdsourcing websites reveals that these underwent many changes in a rather short period. This may indicate that the field of crowdsourcing is still evolving trying to find ways to properly offer and assess such kind of services.

## Empirical Evaluation

### Overview

In this section we present a way to model the Alexa rankings of online crowdsourcing platforms, using the characteristics of websites which have been discussed previously. The aim of this model is to investigate the determinants of a website's Alexa traffic rankings and to what extent affects its attention seeking. The model might provide some useful insights related to the popularity of websites and suggest ways for improvement. Towards this, a OLS linear regression model is used,

which applied to each ranking separately. Nevertheless, we also wanted a more comprehensive picture of predictors' effect on the response variable, in order to investigate, if their effect exists and to what extent, on low and high values of the alexa ranking list and be compared to their effect on median. For this reason, we also used for our estimation a quantile regression. This allows comparing how some quantiles (25%,50%,75%) of the rankings, may be more affected by our determinant-factors, than others.

### Empirical Model

Based on our methodology, the econometric specification in our study is of the following general form:

$$AR\_16_i = \alpha + \beta AR\_14_i + \gamma QA_i + \delta R_i + \varepsilon S_i + \zeta O_i + u_i \quad (1)$$

Where  $AR\_16_i$  is the logarithmic values of the aforementioned alexa ranking in reversed values (dependent variable) for the  $i^{th}$  online platform for the year 2016. Factor  $AR\_14_i$  in the model is the vector containing the logarithmic values of rankings in reversed values of the  $i^{th}$  online platform for the year 2014.  $QA_i$  is a vector which includes the quality assurance mechanisms of the  $i^{th}$  online platform (No quality assurance mechanisms, Reviews & Ratings, Workers' Profile, Skills & Practice Tests, Spamming Detector Tools),  $R_i$  is also a vector for region of the  $i^{th}$  online platform (North America, Europe, Australia, Asia) and  $S_i$  is a vector of the services being provided by the  $i^{th}$  online platform (Microtasks, Crowdfunding, Tasks on Mobile, Content Generation, Data Entry, High Tech, Program Developing, Graphic Design, Translation, Reviews & Testing Products). Last but not least,  $O_i$  is a vector of the online imprint of the  $i^{th}$  online platform (Social Networks, Video Streaming-Sharing, Blogs and Forums).  $u_i$  is the disturbance term.

### Estimation Results

The OLS linear regression model and the coefficient for the 25th, 50th and 75th quantiles are shown in table 6. In the next section, each result of each model is discussed in more detail.

### OLS Regression

The results suggest that there are remarked differences across the distribution of websites' Alexa rankings with respect to the independent/explanatory variables.

Recall, our dependent variable (i.e. crowdsourcing websites' alexa rankings in year 2016) and crowdsourcing websites' alexa rankings in year 2014 are in reversed values based on the equation; reversed values = maximum value + minimum value – initial values. We did so, in order to have a better interpretation with the regression outputs. In particular, now, higher values of our dependent variable reflect higher levels of online website traffic.

Thus, the first column in table 6 shows the coefficients for the OLS linear regression model. The results show that several independent variables are statistically significant. For example, a website's Alexa ranking of previous years (i.e. 2014) is a strong indicator of its future traffic (at the 1% level of significance and the right hand variable is positively relate to the left hand variable). Concerning the group variables of "quality assurance mechanisms", the reference group was websites with that did not disclose any quality control and cheat detection mechanisms. The results show that websites providing mechanisms for spam detection and reviews & ratings for their workers have a high Alexa ranking compared with the websites which belong to the reference group ( $r=1.330$ ,  $p.value = .098$  and  $r= .450$ ,  $p.value = .030$  respectively). Furthermore, having as a reference group websites from North America, the model indicates at the 5% level of significance that websites originated from Asia have an approximately 60% lower average traffic compared with crowdsourcing websites from North America. The OLS coefficients for the various types of services offered show some interesting results. Having as a reference group online platforms providing microworks and simple tasks (i.e. tasks that are performed in parallel by large, paid crowds in a short time), we find that the effect of websites' providing service vary on their traffic and therefore in their position in the Alexa rankings.

**Table 6. The determinants of the 2016 Alexa Rankings for the reviewed crowdsourcing online platforms.**

	OLS	Quantile Regression		
	Mean	0.25	0.50	0.75
Independent variables	[1]	[2]	[3]	[4]
Constant	1.602*** (.551)	1.110*** (.142)	.872* (.567)	1.841*** (.532)
Alexa ranking (year 2014)	.920*** (.045)	.969*** (.036)	.999*** (.044)	.924*** (.042)
<i>Websites' Quality Assurance</i>				
Reviews & Ratings	1.330* (.810)	.808** (.423)	1.540 (2.912)	2.179* (1.262)
Workers' Profile	-.275 (.200)	.218** (.097)	-.223 (.224)	.390* (.223)
Skills & Practice Tests	-.175 (.213)	.161 (.213)	-.008 (.281)	.790** (.352)
Spamming Detector Tools	.450** (.206)	.390*** (.112)	.220 (.260)	.477** (.210)
<i>Websites' Region</i>				
Europe	.079 (.166)	.152*** (.019)	.194 (.179)	-.149 (.183)
Australia	.282 (.278)	.737* (.409)	.256 (.246)	-.469 (.519)
Asia	-.599** (.276)	-.346 (.299)	-.446 (.450)	-.705* (.401)
<i>Websites' Type of Services/Tasks</i>				
Crowdfunding Tasks	-.781*** (.175)	-.522** (.274)	-.626*** (.207)	-.635*** (.221)
Tasks on Mobile Applications	-1.415*** (.296)	-1.408** (.598)	-1.385*** (.268)	-1.651*** (.335)
Content Generation Tasks	.351 (.302)	1.012 (.798)	.465 (.490)	.267 (.014)
Data Entry Tasks	-.093 (.449)	-.156 (1.478)	-.281 (.799)	.304 (.404)
High Tech Tasks	-.531** (.225)	-.896*** (.283)	-.600* (.333)	-.165 (.244)
Programm Developing Tasks	.400 (.638)	.545 (.703)	-.212 (5.020)	-.596 (1.548)
Graphic Design Tasks	-.195 (.254)	-.213 (.254)	-.067 (.239)	.029 (.361)
Translation Tasks	-.137 (.197)	.025*** (.198)	-.088 (.206)	.262 (.399)
Reviews & Testing Products Tasks	.288 (.389)	.185* (.105)	-.068 (.387)	.985 (.758)
<i>Websites' Online Imprint</i>				
Social Networks	.267 (.327)	.535** (.270)	.107 (.455)	.549* (.410)
Video Streaming-Sharing	.611* (.327)	.080 (.455)	.441* (.303)	.679 (.794)
Blogs and Forums	.048 (.230)	-.506 (.234)	-.199 (.316)	.297 (.276)
R-squared	.861	.684	.653	.670
Observations	174	174	174	174

Source: Dataset with results drawn from Alexa.com. Author's calculations.

Notes: Dependent variable: Websites' Alexa Rankings for year 2016. In parentheses heteroskedasticity corrected standard errors.

For Websites' Quality Assurance categorical variable the reference group is websites with no quality assurance mechanisms, for Websites' Region categorical variable the reference group is websites located in North America, for Websites' Type of Services/Tasks categorical variable the reference group is websites providing Microtasks/Simple Tasks Services and for Websites' Online Imprint categorical variable the reference group is websites with no online imprint.

Statistical significance: \*\*\* 1%, \*\* 5% and \* 10%.

For example, a crowdfunding online platform has an approximately 78% lower traffic than a microtask website, with the result being strongly significant at the 1% level of significance. Similarly, websites having tasks on mobile or tasks requiring high-tech knowledge have lower traffic than the reference group (at the 1% and 5% level of significance respectively). Last but not least, regarding the impact of a website's digital marketing strategy (online imprint) on its traffic, the study revealed a weak effect of video sharing communities. More specifically, crowdsourcing online platforms that have a strong profile in video sharing communities such as Youtube and Vimeo, have 61.1 % more traffic than the ones with no profile on such networks.

### Quantile Regression

The quantile regression makes possible to statistically examine the extent to which a website's quality assurance mechanisms, types of services provided, location and online imprint differ when considering the distribution of their traffic. The column 2, 3 & 4 in table 6 presents the regression for the 25<sup>th</sup>, 50<sup>th</sup> and 75<sup>th</sup> quantiles respectively. Recall that quantile regressions were estimated to determine if the impact of the above independent variables varied for crowdsourcing websites at different points in the distribution of their average Alexa rankings in 2016. The results of the quantile regressions show primarily that a website's traffic in previous years is a strong indicator for its traffic in the near future, regardless its position (low or high) in the Alexa list. Moreover, concerning the websites' quality assurance mechanisms, the quantile regressions not only confirm the OLS results, but also reveal that among low-ranked websites (at the 25<sup>th</sup> quantile) another mechanism called "workers' profile" have a strong effect on their traffic (at 5 % level of significance and the right hand variable is positively relate to the left hand variable). Similarly, among high-ranked websites (at the 75<sup>th</sup> quantile), the opportunity of a requester of a crowdsourcing task to conduct skills and practice tests in order to decide which workers to hire, has a notable effect on the online platform's general traffic at 5 % level of significance. The quantile regressions also reveal that among low-ranked websites, a website that originated in Europe has 15.2% more traffic than websites originated in North America at 1% level of significance ( $r = .152$  and  $p \text{ value} = .000$ ), while among high-ranked websites a website that originated in Asia has 70.5% less traffic than websites originated in North America at 10% level of significance ( $r = -.705$  and  $p \text{ value} = .081$ ). Additional evidence reveals that the effect of a website's type of service differs among the distribution of the alexa rankings. For example, among websites in low traffic positions, a website that provides translation tasks or reviews and testing products achieves more traffic when compared to websites offering microtasks, while websites with crowdfunding, high-tech services of tasks on mobile have in general less traffic than the reference group. Finally, with regard to the websites' online imprint, quantile regression does not confirm the OLS concerning the effect of a strong website's profile on video sharing communities on Alexa ranking, because at the 25<sup>th</sup> quantile and at 75<sup>th</sup> quantile this effect is substituted from a strong website's profile on social networks such as Facebook, Twitter, LinkedIn etc. (at 5% and 10% level of significance and the right hand variable is positively relate to the left hand variable respectively).

### Discussion

The tools that a crowdsourcing website offers to the potentially requesters, the region where it is located, the type of tasks it accepts and the strategies for efficient digital marketing that applies, can have important effects on its recognition and popularity. The abovementioned characteristics of a crowdsourcing platform affect the decision of a requester, concerning the participation and accomplishment of a crowdsourcing job in this platform. Obviously, a high-attracted crowdsourcing online platform has major indexes of traffic and as an extent a high position in alexa ranking list. As a consequence, highly-ranked websites may have more crowdsourcing sessions when compared to low-ranked sites, giving them the opportunity to respond efficiently to their competitive operating environment.

### Conclusions

The purpose of this research is twofold. First, it aimed at investigating how crowdsourcing websites have evolved in terms of their characteristics and services offered in a period of two years (2014-2016).

Second, it attempted to devise a theoretical framework to investigate the effect of the websites' characteristics on their ranking as these are reported by Alexa. The theoretical evaluation's purpose is to investigate and understand how the individual characteristics of crowdsourcing websites influence their traffic and popularity. Give the dynamics of the field in recent years, such results may offer insights in improving their services and operation.

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## Organizational Commitment Can Be Predicted? Comparative and Descriptive Analysis

Dr. Reka Janos

Dr. Kinga Szabo

### Abstract

Organizational commitment has been in researchers' focus for a long period and it is very important for organizational practice. The aim of this study is to investigate the role of situational and personal factors in organizational commitment. 531 job applicants completed the Blau and a demographic questionnaire from different Romanian and Hungarian organizations. The study sample included employees and leaders as well. Differentiated effect and relations, professional and organizational commitment, job involvement and work value were investigated. Results indicate significant differences in level of organizational and occupational commitment based on participants' educational level. Moreover, the status in organization had significant effect on all four commitment dimensions. The cultural effect was not demonstrated. Findings can be useful in practice to keep up proper labor.

**Keywords:** occupational and organizational commitment, job involvement, work value, demographic factors, employees, leaders

### Introduction

Organizational commitment plays an important role in achieving organizational goals. This is a complex construct containing emotional, behavioral and cultural aspects.

Commitment is a psychological state that characterizes the relationship of the worker with the organization. Within the commitment, we can distinguish between emotional and behavioral attitudes. At the emotional attitude side, focus is on the relationship between the individual and the organization, while the behavioral side means action intent or activity (Meyer et al. (2002). Commitment to the organization may be strong or weak. Strong level of it is the most advantageous thing, as this means that a worker is happy with his work, loves it, and does not intend to quit. Workers who have a high organizational affectionate commitment are emotionally attached to the organization so they have a desire to make a significant contribution to reach the organization's goals. Such individuals have no turnover intentions, work harder, and their overall performance is much better than their low-committed colleagues'. Low level of engagement is against organizational goals (Fornes et al, 2008).

Occupational and organizational commitment are two distinct constructs, but interrelated. Both are positively related to organizational retention (Mathieu and Zajac 1990). An increasing number of studies are concerned on correlates of occupational and organizational commitment, personal factors (e.g. age, gender, and study level), situational factors (e.g. organizational size, ownership) and job related factors. (Eisenberger, Huntington, Hutchison and Sowa, 1986, Aven, Parker, McEvoy, 1993, Cohen, 1993, Lee et al., 2000, Riketta, 2002,).

Among personal factors age is positively related to occupational commitment, but it has no significant effect on organizational commitment. This finding was outlined in two meta-analyses as well (Mathieu and Zajac 1990, Lee et al. 2000). According to Mathieu and Zajac (1990), age is poorly associated with emotional commitment. Results are contradictory for continuous commitment.

Many studies investigated gender differences e.g. the study of Major et al. (2012), where women reported lower occupational commitment than men.

Another factor which can contribute to commitment is education level. Graduation negatively correlates with commitment. If an individual feels that his/her skills and qualifications are not recompensed by the organization, they will not be committed to their organization (e.g. González et al., 2016)

McKinnon et al. (2003) show, that workplace culture also plays an important role in engagement. They found that human-centered leadership has a direct consequence on the commitment of the staff. Based on the theory of situational leadership, different management style is desirable under different conditions, in this context we can say that there is no leadership style that has a clear consequence on commitment. For fast-running organizational development strategies, it is desirable

to have autocratic style; in other cases, it may be more successful to enhance engagement by driving Laissez-faire, for example in sectors such as education. Here, this leadership style provides free development of high-skilled workers in their work.

An examination about influential factors of organizational engagement dealt with the size, structure and centralization of the organization. It has a negative impact on engagement where job roles and tasks are not well defined (Jaros et al., 1993). The other direction of the research investigated the significance and role of leadership style for engagement. The leadership initiative, open communication and attention to colleagues, positively correlate with engagement. In addition, they were looking at the fairness of the orderly justice, how fair their decision-making process was. DeConinck and Stilwell (2004). It was assumed that the degree of organizational commitment was a direct predictor of the intention to change jobs. It was demonstrated that the perception of organizational justice, roles in the workplace - role recognition, role conflicts, satisfaction with earnings and satisfaction with control are directly related to organizational commitment.

Kuvaas (2003) investigated the effect of ownership on performance in the case of profit-oriented companies. He found that change in ownership patterns could be a motivating force for better performance. In the review of the author, the employees received a full-time benefit-based bonus for a year after the company's shares. This kind of financial participation has led to more favorable employee attitudes and behaviors without causing a lot of problems. The fact of ownership thus strengthens the commitment of the employees to the organization by creating a common interest between the worker and the owner.

In this study, the aim is to analyse how personal (age, gender, education level), organizational (organization size) and job (status) characteristics contribute for commitment.

## Methods

### Participants

A total of N=531 participants were recruited for this study, mainly from two European countries, N= 106 from Romania, N= 420 Hungary and N=5 mentioned other countries. Ages ranged from 20 to 67 with a mean age of 39.03 years (SD = 10.77) on the whole sample. Distribution by gender was not equal, our sample included 325 females (61.20%) and 206 males (38.80%). The other main descriptive statistics of the participants are shown in Table 1.

### Instruments

Demographic questionnaire was completed covering different socio-demographical elements and job related data: age, gender, education level, country, status and organization size. In order to assess participants' commitment level the Blau (1985) questionnaire was used. In addition to the organizational commitment (OC) this instrument measures three other related factors: occupational commitment (OcC), work value (WV) and job involvement (JI). Response options ranged from 1 (strongly disagree) to 6 (strongly agree).

### Procedure

The participants were asked to complete the two questionnaires mentioned in instruments section. Data in this study were collected individually and for analysis IBM SPSS Statistics (20.0) was applied. Descriptive statistics, regression analysis and Anova were used for testing our goals. Significance level was set at  $p \leq .05$ .

Table 1 Descriptive statistics of the participants

Demographic Variable	Category	N	%
Status	Employee	437	82.30
	Middle manager	63	11.90
	Top leader	31	5.80
Education level	8 grades or less	23	4.30
	Baccalaureate	165	31.10
	College or university	223	42.00
	Master degree	91	17.10
	PhD	29	5.50
Organization size	small	130	24.50
	Medium	264	49.70
	Large	137	25.80

## Results

### Personal characteristics, organizational and occupational commitment

Based on previous research, firstly the relation between two types of commitment using Pearson product-moment correlation was tested. The correlation coefficient ( $r(529) = .50$ ) shows a moderate uphill association between these two factors, which is statistically significant ( $p < .001$ ) result.

The first set of analyses focused on the relations between personal characteristics, occupational and organizational commitment.

We investigated the differences between Romanian and Hungarian sample in organizational commitment and the other related variables. The analysis did not reveal any significant differences between these two countries ( $p > .05$ ). Therefore further analysis includes the whole sample.

A point-biserial correlation was used to measure the association between gender and occupational and organizational commitment. There was no significant connection either with occupational commitment ( $r_{pb(529)} = .001, p = .97$ ) or with organizational commitment ( $r_{pb(529)} = -.007, p = .87$ ).

Differences in commitments were tested by the education level. One-way variance analysis demonstrated significant differences between groups in occupational commitment  $F(4,526) = 3.72, p < .01$  and also in organizational commitment  $F(4,526) = 2.70, p < .05$ . Figure 1 illustrates commitment scores distributed by participants' education level.

In order to assess where exactly the significant differences were, post-hoc Tukey HSD analysis was run. This highlighted that participants with college or university degree ( $M = 47.05, SD = 13.28$ ) had significantly ( $p < .05$ ) higher occupational commitment than those with baccalaureate ( $M = 42.73, SD = 12.98$ ).

However, participants with PhD degree ( $M = 19.07, SD = 8.66$ ) had significantly ( $p < .05$ ) lower organizational commitment level than people with baccalaureate ( $M = 25.15, SD = 11.41$ ) and with college or university degree ( $M = 24.31, SD = 9.37$ ).

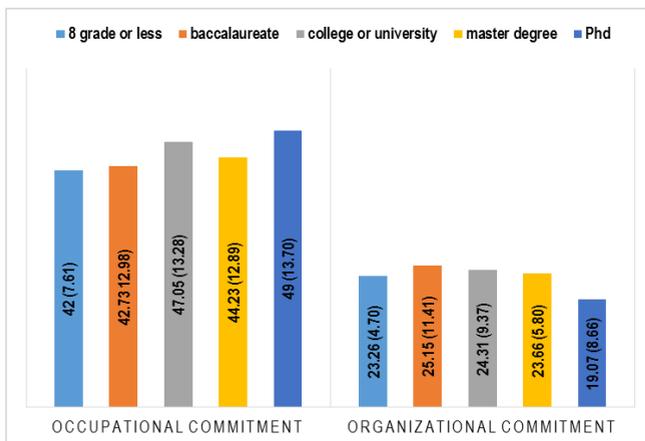


Figure 1 Occupational and organizational commitment means and standard deviations divided by education level

Last, but not least the association between age and OcC level and also with OC was inspected. Pearson product-moment correlation showed a significant ( $p < .05$ ) but very small positive relation ( $r = .10$ ) with organizational commitment and no association with occupational commitment.

### Organizational, job characteristics and OC

One way variance analysis was used to test the influence of status commitments. There were significant differences between the three status groups in terms of their occupational commitment  $F(2,528) = 10.21, p < .001$ , and also in organizational commitment scores,  $F(2,528) = 13.72, p < .001$ . Differences are shown in Figure 2.



Figure 2 Occupational and organizational commitment means and standard deviations divided by status

These differences were statistically significant ( $ps < .001$  and  $ps < .05$ ) between employees and middle managers, and top leaders. Surprisingly, this distinctness did not come up between the two types of leaders.

In the next set of analyses, the influence of organizational factors and job related factors on organizational commitment was investigated. Summing up results from previous researches, these analyses were conducted separately by organization size (small, medium and large organization). Multiple linear regression was carried out to determine the effect of occupational commitment, work value, job involvement and status on organizational commitment. Results of these analyses are presented in Table 2-3-4.

**Table 2**  
Regression model with OC as the criterion Variable in small organizations

	Unstandardized coefficients	Standardized coefficients	t	Sig.
Constant	-7.22			
OcC	.17	.14	2.43	.016
Jl	.16	.12	1.08	.282
Wv	.83	.65	6.46	$p < .001$
Status	-.10	-.01	-.09	.92

	Unstandardized coefficients	Standardized coefficients	t	Sig.
Constant	4.11			
OcC	.17	.36	5.56	$p < .001$
Jl	.29	.31	4.36	$p < .001$
Wv	.09	.09	1.75	.08
Status	1.24	.09	2.00	.04

**Table 3**  
Regression model with OC as the criterion Variable in middle size organizations

OcC- occupational commitment, WV- work value, Jl- job involvement  
OcC- occupational commitment, WV- work value, Jl- job involvement

Adjusted  $R^2= 72.1$  per cent;  $F(4,125)= 84.47$ ,  $p< .001$

Adjusted  $R^2= 47.9$  per cent;  $F(4,259)= , p< .001$

**Table 4**

Regression model with OC as the criterion Variable in large size organizations

	Unstandardiz ed coefficients	Standardiz ed coefficients	t	Sig.
Constant	4.02			
OcC	.09	.19	2.41	.01
Jl	.36	.41	4.26	$p<.001$
Wv	.14	.13	1.59	.11
Status	1.48	.12	1.87	.06

OcC- occupational commitment, WV- work value, Jl- job involvement

Adjusted  $R^2=39.9$  per cent;  $F(4,132)= 23.89.47$ ,  $p< .001$

All the three models were statistically significant ( $ps< .001$ ). The adjusted  $R^2$  indicated that in small organizations 72.1 per cent, in middle organizations 47.9 per cent and in large organizations 39.9 per cent of the variance in organizational commitment score can be explained by variances in the four predictor variables. The most influential predictor was various based on organization size. Work value was the most influential predictor ( $\beta= .65$ ) in the model for small organizations, occupational commitment ( $\beta= .36$ ) for middle organizations and job involvement ( $\beta= .41$ ) for large size organizations. Occupational commitment was significant predictor in all three models. Therefore, work value was a significant predictor for organizational commitment only in small organizations and job involvement in middle and large size organizations.

Further analysis investigated differences in organizational commitment by status. Likewise, in previous analyses these differences were tested separately in small, middle and large size organization groups. A new variable was computed based on the status variable. This included whether a participant has an employee or a leader status. To assess these differences between employees and leaders, independent sample t-test was used. Results from these analyses are presented in Table 5.

**Table 5**

Differences between employees and leaders in organizational commitment separately by organization size

Organization type	Status	N	M (SD)	t (df)	p	d
Small organization	Employee	102	25.85 (12.28)	-3.23 (128)	.002	.58
	Leader	28	35.79 (20.47)			
Middle size organization	Employee	223	22.79 (6.07)	-3.86 (262)	< .001	.69
	Leader	41	26.68 (5.11)			
Large organization	Employee	112	21.58 (6.76)	1.05 (135)	.29	.23
	Leader	25	23.16 (6.67)			

Status has higher effect on organizational commitment among participants from middle size organizations. Interestingly, in case of large organizations status does not have any effect on this type of commitment.

## Discussion and Conclusion

This study was aimed to investigate two types of commitment and how these are influenced by personal, organizational and job characteristics.

In line with previous findings (Lee et. al., 2000), occupational and organizational commitment have a positive moderate relation. These two can be overlapped, but at the same time, they can have different influential factors.

Contrary to this meta-analytic study, age was related with organizational commitment but with occupational commitment no association was shown. However, age has only a small association with organizational commitment. This can be explained by organizational tenure and career stages. People who have spent more time in the same organization can be

more committed emotionally to their organization. Further research should take into account these variables as well, controlling them, in order to establish a more clear relation between age and these two types of commitment.

Results indicated that there are differences in commitments based on educational level. These appear mostly between people with PhD degree, those who graduated high school and participants with university degree.

This study showed no significant differences either by genders or by nationalities. With regard to genders, this outcome contradicts the study of Major et al. (2012) that concluded difference between genders in commitment level. Women had significantly lower level of occupational commitment than men.

Due to the differences between smaller and bigger organizations, our data obtained are broadly consistent with the major trends (De Clerq, and Rius, 2007.) Interestingly, organizational commitment in small organizations was predicted significantly by work value. At the same time, this factor was not a predictor in the other two types of organizations. Job involvement was that element, which was significant predictor in middle and large size organizations as well.

Analyzing organizational and job characteristics, it was found that occupational commitment was significant predictor for organizational commitment in all types of organizations based on employee numbers.

Results indicate differences between leaders and employees in organizational commitment in two types of organizations. This highlights how important a status in small and middle organizations is, with regard to commitment. This finding can account for progress opportunities. Employees in a large organization have more chance to develop and to occupy a higher position than people from a small organization.

This study contributes to the broader literature on commitment by demonstrating that personal, organizational and job factors can have different effect on organizational and occupational commitment. From the outcome of our investigation it is possible to conclude that people with higher educational level are less committed to the organizations than those with lower educational level but they are occupationally committed. Furthermore, employees' and leaders' commitment can differ, but not in a large size organization.

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## Application of Change of Basis in the Simplex Method

Dr. Mehmet Hakan Özdemir

Istanbul University

### Abstract

The simplex method is a very useful method to solve linear programming problems. It gives us a systematic way of examining the vertices of the feasible region to determine the optimal value of the objective function. It is executed by performing elementary row operations on a matrix that we call the simplex tableau. It is an iterative method that by repeated use gives us the solution to any  $n$  variable linear programming model. In this paper, we apply the change of basis to construct following simplex tableaus without applying elementary row operations on the initial simplex tableau.

**Keywords:** change of basis, linear programming, simplex method, optimization, linear algebra

### 1 Introduction

In the summer of 1947, George B. Dantzig started to work on the simplex method for solving linear programs. The linear programming problem is to find

$$\min z, \mathbf{x} \geq 0 \text{ such that } A\mathbf{x} = \mathbf{b}, \mathbf{c}\mathbf{x} = z_{\min}$$

where  $\mathbf{x} = (x_1, x_2, \dots, x_n)$ ,  $A$  is an  $m$  by  $n$  matrix, and  $\mathbf{b}$  and  $\mathbf{c}$  are column and row vectors [1].

He presented in his work titled "Maximization of a linear function of variables subject to linear inequalities" the details of the simplex method by means of linear algebra [2]. The significance of this work lies in showing that we can do something about finding an optimal solution if such one exists. This method allows us to compute the optimal solution. Two issues in the simplex method are of great importance: First, with the simplex method we can obtain a basic feasible solution with which to start the computation and second, the simplex method ensures that the algorithm finishes in a finite number of steps either with an optimal solution or with the conclusion that there is no optimal solution [3].

### 2 Basis and coordinates<sup>[4]</sup>

Let  $V$  be a vector space and let  $B = \{\mathbf{v}_1, \mathbf{v}_2, \dots, \mathbf{v}_n\}$  be a set of vectors in  $V$ .  $B$  forms a basis for  $V$  if the following two conditions hold:

1.  $B$  is linearly independent.
2.  $B$  spans  $V$ .

If  $B = \{\mathbf{v}_1, \mathbf{v}_2, \dots, \mathbf{v}_n\}$  is a basis for  $V$ , then every vector  $\mathbf{x} \in V$  can be expressed uniquely as a linear combination of  $\mathbf{v}_1, \mathbf{v}_2, \dots, \mathbf{v}_n$ .

$$\mathbf{x} = y_1\mathbf{v}_1 + y_2\mathbf{v}_2 + \dots + y_n\mathbf{v}_n \quad (1)$$

**Theorem 1.:** If  $B = \{\mathbf{v}_1, \mathbf{v}_2, \dots, \mathbf{v}_n\}$  is a basis for a vector space  $V$ , then every vector  $\mathbf{x}$  in  $V$  can be written in one and only one way as a linear combination of vectors in  $B$ .

**Proof 1.:** Suppose there are two sets of coefficients for  $\mathbf{x}$ .

$$\mathbf{x} = k_1\mathbf{v}_1 + k_2\mathbf{v}_2 + \dots + k_n\mathbf{v}_n \quad (2)$$

and also

$$\mathbf{x} = l_1\mathbf{v}_1 + l_2\mathbf{v}_2 + \dots + l_n\mathbf{v}_n \quad (3)$$

Subtracting the two expressions for  $\mathbf{x}$  gives

$$\mathbf{0} = (k_1 - l_1)\mathbf{v}_1 + (k_2 - l_2)\mathbf{v}_2 + \dots + (k_n - l_n)\mathbf{v}_n \quad (4)$$

Since  $\{\mathbf{v}_1, \mathbf{v}_2, \dots, \mathbf{v}_n\}$  is linearly independent, so the coefficients in this expression must vanish:

$$\begin{aligned}
 (k_1 - l_1) = 0 &\text{ implies } k_1 = l_1 \\
 (k_2 - l_2) = 0 &\text{ implies } k_2 = l_2 \\
 &\dots \\
 (k_n - l_n) = 0 &\text{ implies } k_n = l_n
 \end{aligned} \tag{5}$$

Therefore, the coefficients  $k_1, k_2, \dots, k_n$  are unique as claimed.

**Definition 1.:** The coordinates of a vector  $\mathbf{x}$  in a vector space  $V$  with respect to a basis  $B = \{\mathbf{v}_1, \mathbf{v}_2, \dots, \mathbf{v}_n\}$  are those coefficients  $(y_i)$  which uniquely express  $\mathbf{x}$  as linear combination of the basis vectors.

$$\mathbf{x} = y_1\mathbf{v}_1 + y_2\mathbf{v}_2 + \dots + y_n\mathbf{v}_n = y_{1j}\mathbf{v}_1 + y_{2j}\mathbf{v}_2 + \dots + y_{nj}\mathbf{v}_n \tag{6}$$

These coefficients  $y_1, y_2, \dots, y_n$  are called the coordinates of  $\mathbf{x}$  relative to the basis  $(y_i \in \mathbb{R})$ . The coordinate matrix (or coordinate vector) of relative to  $B$  is the column matrix in  $\mathbb{R}^n$  whose components are the coordinates of  $\mathbf{x}$ .

$$[\mathbf{x}]_B = \begin{bmatrix} y_1 \\ y_2 \\ \dots \\ y_n \end{bmatrix} = \begin{bmatrix} y_{1j} \\ y_{2j} \\ \dots \\ y_{nj} \end{bmatrix} \tag{7}$$

In Figure 1, two coordinate systems in the plane are displayed:

- coordinate plane  $xy$
- coordinate plane  $x'y'$

Every coordinate system is defined by a basis.

- The standard coordinate system is defined by the standard basis:

$$S = (\mathbf{e}_1, \mathbf{e}_2) = \{(1,0), (0,1)\} \tag{8}$$

- The dashed coordinate system (non-standard) is defined by the basis:

$$B = (\mathbf{u}_1, \mathbf{u}_2) = \{(3,2), (-2,1)\} \tag{9}$$

In Figure 2, the vector  $\mathbf{u} = (1,3)$  has standard coordinates  $x = 1$  and  $y = 3$ .

If we use the dashed coordinate system (non-standard), whose coordinate axes are labelled  $x'$  and  $y'$ ; the dashed coordinates of  $\mathbf{u}$  are  $x' = 1$  and  $y' = 1$ .

### 3 Change of Basis<sup>[4]</sup>

If we are provided with the coordinate matrix of a vector relative to one basis  $B$  and are asked to find the coordinate matrix of the vector relative to another basis  $B'$ , we have to apply the procedure of change of basis. This is shown in Example 1.

**Example 1.:** Find the coordinate matrix of  $\mathbf{x} = \{1, -2, -1\}$  in  $\mathbb{R}^3$  relative to non-standard basis  $B' = (\mathbf{u}_1, \mathbf{u}_2, \mathbf{u}_3) = \{(0,0,-1), (1,3,-1), (2,1,1)\}$ .

**Solution 1.:** First,  $\mathbf{x}$  is written as a linear combination of  $\mathbf{u}_1, \mathbf{u}_2, \mathbf{u}_3$ .

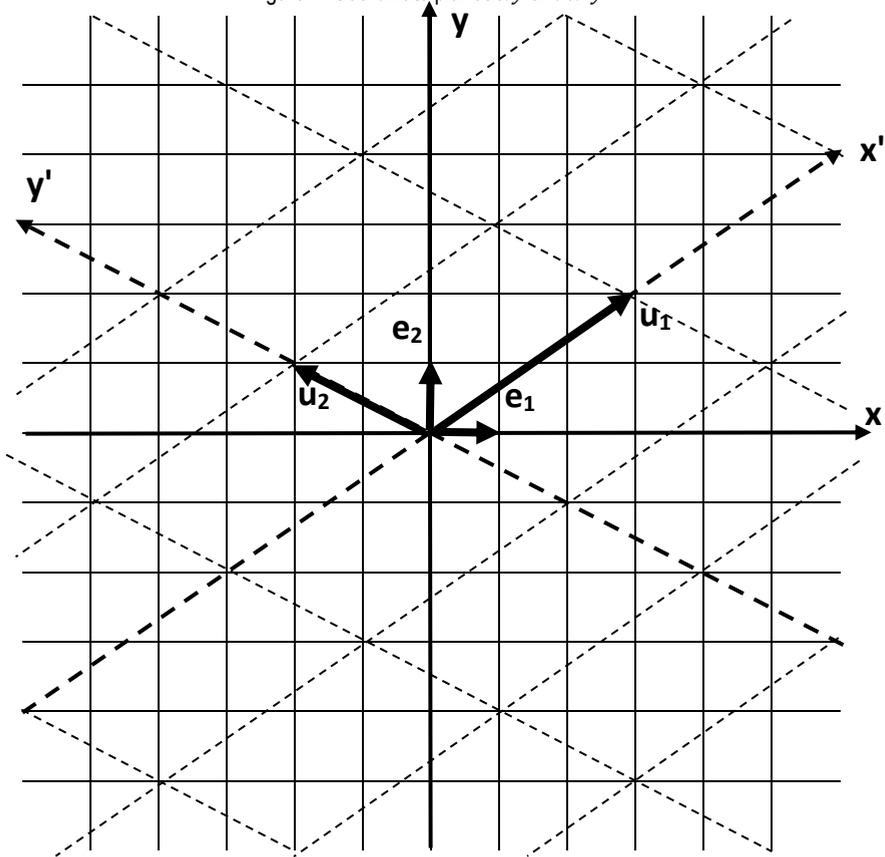
$$\mathbf{x} = y_1\mathbf{u}_1 + y_2\mathbf{u}_2 + y_3\mathbf{u}_3 \tag{10}$$

$$(1, -2, -1) = y_1(0,0,-1) + y_2(1,3,-1) + y_3(2,1,1) \tag{11}$$

Then, the following system of linear equations is obtained.

$$\begin{aligned}
 y_2 + 2y_3 &= 1 \\
 3y_2 + y_3 &= -2 \\
 -y_1 - y_2 + y_3 &= -1
 \end{aligned} \tag{12}$$

Figure 1: Coordinate planes  $xy$  and  $x'y'$



This can be written in matrix form  $P \cdot [x]_{B'} = [x]_B$

$$\begin{bmatrix} 0 & 1 & 2 \\ 0 & 3 & 1 \\ -1 & -1 & 1 \end{bmatrix} \cdot \begin{bmatrix} y_1 \\ y_2 \\ y_3 \end{bmatrix} = \begin{bmatrix} 1 \\ -2 \\ -1 \end{bmatrix} \quad (13)$$

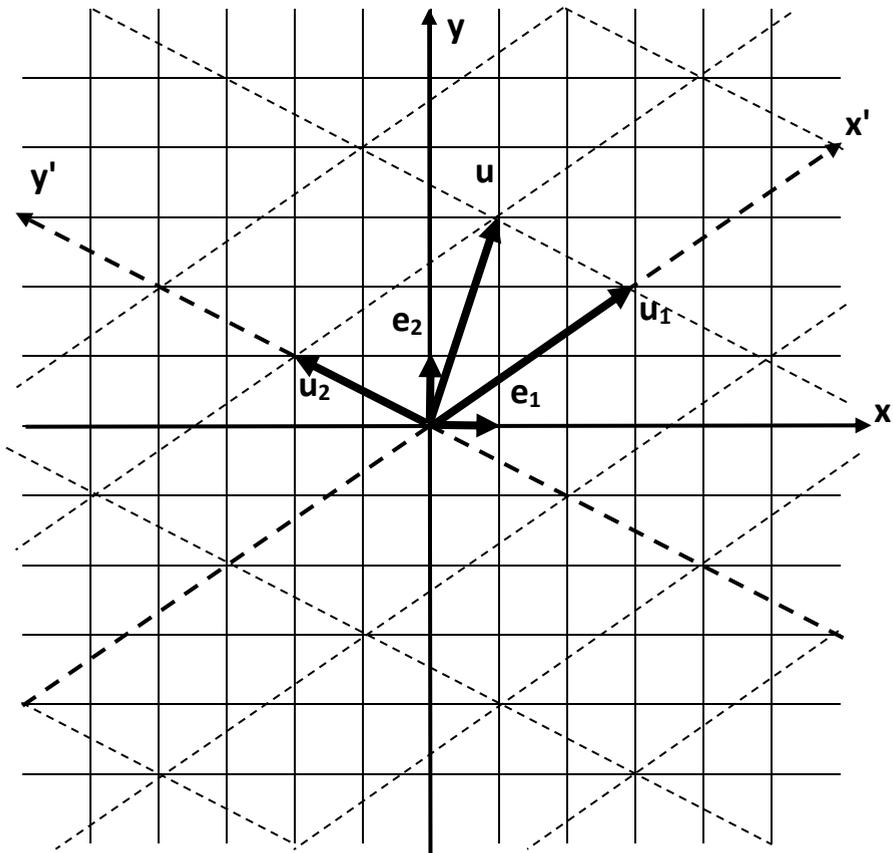
Where  $P$  is the transition matrix from  $B'$  to  $B$ ,  $[x]_{B'}$  is the coordinate matrix of  $x$  relative to the basis  $B'$  and  $[x]_B$  is the coordinate matrix of  $x$  relative to the basis  $B$ . (13) shows the change of basis from  $B'$  to  $B$ .

$[x]_{B'}$  can be found by  $[x]_{B'} = P^{-1} \cdot [x]_B$

$$\begin{bmatrix} y_1 \\ y_2 \\ y_3 \end{bmatrix} = \begin{bmatrix} 0 & 1 & 2 \\ 0 & 3 & 1 \\ -1 & -1 & 1 \end{bmatrix}^{-1} \cdot \begin{bmatrix} 1 \\ -2 \\ -1 \end{bmatrix} = \begin{bmatrix} 3 \\ -1 \\ 1 \end{bmatrix} \quad (14)$$

Where  $P^{-1}$  is the transition matrix from  $B$  to  $B'$ . So the solution of the system given in (12) is  $y_1 = 3$ ,  $y_2 = -1$  and  $y_3 = 1$ , so the coordinate matrix of  $x$  relative to  $B'$  is

Figure 2: Vector  $u$  in both coordinate systems



$$[x]_{B'} = \begin{bmatrix} 3 \\ -1 \\ 1 \end{bmatrix} \quad (15)$$

**Theorem 2.:** Let  $B = \{v_1, v_2, \dots, v_n\}$  and  $B' = \{u_1, u_2, \dots, u_n\}$  be two ordered bases for  $\mathbb{R}^n$ . Then the transition matrix  $P^{-1}$  from  $B$  to  $B'$  can be found by using Gauss-Jordan elimination on the matrix  $[B': B]$  as follows:

$$[B': B] \rightarrow [I_n: P^{-1}] \quad (16)$$

Example 2. shows an application of (16).

**Example 2.:** Find the transition matrix from  $B$  to  $B'$  for the following bases in  $\mathbb{R}^3$ .

$B = \{(1,0,0), (0,1,0), (0,0,1)\}$  and  $B' = \{(1, -1,0), (-2,1,2), (1, -1, -1)\}$

**Solution 2.:** First,  $B$  and  $B'$  are written in matrix form.

$$B = \begin{bmatrix} 1 & 0 & 0 \\ 0 & 1 & 0 \\ 0 & 0 & 1 \end{bmatrix} \text{ and } B' = \begin{bmatrix} 1 & -2 & 1 \\ -1 & 1 & -1 \\ 0 & 2 & -1 \end{bmatrix} \quad (17)$$

The matrix  $[B': B]$  is formed and Gauss-Jordan Elimination is used to rewrite  $[B': B]$  as  $[I_n: P^{-1}]$ .

$$[B': B] = \begin{bmatrix} 1 & -2 & 1 & 1 & 0 & 0 \\ -1 & 1 & -1 & 0 & 1 & 0 \\ 0 & 2 & -1 & 0 & 0 & 1 \end{bmatrix} \dots$$

$$[I_n : P^{-1}] = \begin{bmatrix} 1 & 0 & 0 & 1 & 0 & 1 \\ 0 & 1 & 0 & -1 & -1 & 0 \\ 0 & 0 & 1 & -2 & -2 & -1 \end{bmatrix} \quad (18)$$

Transition matrix from  $B$  to  $B'$  is then

$$P^{-1} = \begin{bmatrix} 1 & 0 & 1 \\ -1 & -1 & 0 \\ -2 & -2 & -1 \end{bmatrix} \quad (19)$$

#### 4 Application

The simplex method is a very useful method to solve linear programming problems. It gives us a systematic way of examining the vertices of the feasible region to determine the optimal value of the objective function. It is executed by performing elementary row operations on a matrix that we call the simplex tableau. This tableau consists of augmented matrix corresponding to the constraint equations together with the coefficients of the objective function written in the form

$$c_1x_1 + c_2x_2 + \dots + c_nx_n + 0 \cdot s_1 + 0 \cdot s_2 + \dots + 0 \cdot s_m - z = 0 \quad (20)$$

In this paper, we apply the change of basis to construct following simplex tableaus without applying elementary row operations on the initial simplex tableau.

**Example 3.:**  $z_{max} = 2x_1 + x_2 + 3x_3$

$$\begin{aligned} \text{s.t.} \quad & x_1 + 2x_2 \leq 8 \\ & x_1 + x_2 + 2x_3 \leq 12 \\ & x_1, x_2, x_3 \geq 0 \end{aligned} \quad (21)$$

**Solution 3.:**  $z_{max} = 2x_1 + x_2 + 3x_3 + 0 \cdot s_1 + 0 \cdot s_2$

$$\begin{aligned} \text{s.t.} \quad & x_1 + 2x_2 + 0 \cdot x_3 + 1 \cdot s_1 + 0 \cdot s_2 = 8 \\ & x_1 + x_2 + 2 \cdot x_3 + 0 \cdot s_1 + 1 \cdot s_2 = 12 \\ & x_1, x_2, x_3, s_1, s_2 \geq 0 \end{aligned} \quad (22)$$

Table 1: Initial simplex tableau

$c_B$	BASIC	$c_j$	2	1	3	0	0	
	VARIABLES	$x_B$	$x_1$	$x_2$	$x_3$	$s_1$	$s_2$	
0	$s_1$	8	1	2	0	1	0	
0	$s_2$	12	1	1	2	0	1	MIN RATIO
	$z_j$	0	0	0	0	0	0	
	$z_j - c_j$	----	-2	-1	-3	0	0	
					MIN			

Coefficient vectors of  $x_1, x_2, x_3, s_1, s_2$  are respectively

$$\mathbf{a}_1 = \begin{bmatrix} 1 \\ 1 \end{bmatrix} \quad \mathbf{a}_2 = \begin{bmatrix} 2 \\ 1 \end{bmatrix} \quad \mathbf{a}_3 = \begin{bmatrix} 0 \\ 2 \end{bmatrix} \quad \mathbf{a}_4 = \begin{bmatrix} 1 \\ 0 \end{bmatrix} \quad \mathbf{a}_5 = \begin{bmatrix} 0 \\ 1 \end{bmatrix} \quad (23)$$

In the initial simplex tableau in Table 1, the coefficient vectors that are in the basis  $B$  are

$$\mathbf{a}_4 = \begin{bmatrix} 1 \\ 0 \end{bmatrix} \quad \mathbf{a}_5 = \begin{bmatrix} 0 \\ 1 \end{bmatrix} \quad (24)$$

$B = (\mathbf{a}_4, \mathbf{a}_5)$  (Basis of the initial simplex tableau)

In the initial simplex tableau, the pivot column is the coefficient vector of  $x_3$ , namely  $\mathbf{a}_3$ . The coefficients in the pivot column are the coordinates of  $\mathbf{a}_3$  relative to the basis  $B$ .

After pivoting in the initial simplex tableau, we decided that  $s_2$  is leaving the solution as  $x_3$  is entering the solution. In the second simplex tableau, the coefficient vectors that are in the ordered basis  $B'$  are

$$\mathbf{a}_4 = \begin{bmatrix} 1 \\ 0 \end{bmatrix} \quad \mathbf{a}_3 = \begin{bmatrix} 0 \\ 2 \end{bmatrix} \tag{25}$$

$B' = (\mathbf{a}_4, \mathbf{a}_3)$  (Basis of the second simplex tableau)

Without applying elementary row operations on the initial simplex tableau, we apply the change of basis to construct the second tableau. To get the transition matrix  $P^{-1}$ , the matrix  $[B' : B]$  is formed and Gauss-Jordan Elimination is used to rewrite  $[B' : B]$  as  $[I_n : P^{-1}]$ .

$$[B' : B] = \left[ \begin{array}{cc|cc} 1 & 0 & 1 & 0 \\ 0 & 2 & 0 & 1 \end{array} \right] \dots$$

$$[I_n : P^{-1}] = \left[ \begin{array}{cc|cc} 1 & 0 & 1 & 0 \\ 0 & 1 & 0 & 1/2 \end{array} \right] \tag{26}$$

Transition matrix from  $B$  to  $B'$  is then

$$P^{-1} = \begin{bmatrix} 1 & 0 \\ 0 & 1/2 \end{bmatrix} \tag{27}$$

To construct the second tableau in Table 2, we multiply the augmented matrix in the initial tableau with the transition matrix when the basis is changing from  $B$  to  $B'$ . So we get the augmented matrix of the second tableau

$$P^{-1} \cdot \text{AUGMENTED MATRIX} = \begin{bmatrix} 1 & 0 \\ 0 & 1/2 \end{bmatrix} \begin{bmatrix} 8 & 1 & 2 & 0 & 1 & 0 \\ 12 & 1 & 1 & 2 & 0 & 1 \end{bmatrix} =$$

$$= \begin{bmatrix} 8 & 1 & 2 & 0 & 1 & 0 \\ 6 & 1/2 & 1/2 & 1 & 0 & 1/2 \end{bmatrix} \tag{28}$$

Table 2: Second simplex tableau

$c_B$	BASIC	$c_j$	2	1	3	0	0	
	VARIABLES	$x_B$	$x_1$	$x_2$	$x_3$	$s_1$	$s_2$	
0	$s_1$	8	1	2	0	1	0	MIN RATIO
3	$x_3$	6	1/2	1/2	1	0	1/2	
	$z_j$	18	3/2	3/2	3	0	3/2	
	$z_j - c_j$	----	-1/2	1/2	0	0	3/2	
			MIN					

Recall that in the initial simplex tableau the coefficients in the pivot column are the coordinates of  $\mathbf{a}_3$  relative to the basis  $B$ . But for the second simplex tableau we have another basis  $B'$ . The coefficient vector of  $x_3$  in the second simplex tableau gives us the coordinates of  $\mathbf{a}_3$  relative to the basis  $B'$ .

First,  $\mathbf{a}_3$  is written as a linear combination of  $\mathbf{a}_4$  and  $\mathbf{a}_3$ .

$$(0,2) = c_1(1,0) + c_2(0,2) \tag{29}$$

Then, the following system of linear equations is obtained.

$$\begin{aligned} c_1 &= 0 \\ 2c_2 &= 2 \end{aligned} \tag{30}$$

We can see that

$$\begin{bmatrix} c_1 \\ c_2 \end{bmatrix} = \begin{bmatrix} 0 \\ 1 \end{bmatrix} \tag{31}$$

So  $[\mathbf{a}_3]_{B'}$  is

$$[\mathbf{a}_3]_{B'} = \begin{bmatrix} 0 \\ 1 \end{bmatrix} \quad (32)$$

The same holds for the coefficient vectors of  $x_1, x_2, s_1$  and  $s_2$  as well.

After pivoting in the second simplex tableau, we decided that  $s_1$  is departing from the solution as  $x_1$  is entering the solution. In the third simplex tableau, the coefficient vectors that are in the ordered basis  $B''$  are

$$\mathbf{a}_1 = \begin{bmatrix} 1 \\ 1 \end{bmatrix} \quad \mathbf{a}_3 = \begin{bmatrix} 0 \\ 2 \end{bmatrix} \quad (33)$$

$B'' = (\mathbf{a}_1, \mathbf{a}_3)$  (Basis of the third simplex tableau)

Without applying elementary row operations on the second simplex tableau, we apply the change of basis to construct the third tableau. To get the transition matrix  $P^{(-1)}$ , the matrix  $[B'' : B']$  is formed and Gauss-Jordan Elimination is used to rewrite  $[B'' : B']$  as  $[I_n : P^{(-1)}]$ .

$$[B'' : B'] = \begin{bmatrix} 1 & 0 & 1 & 0 \\ 1 & 2 & 0 & 2 \end{bmatrix} \dots$$

$$[I_n : P^{(-1)}] = \begin{bmatrix} 1 & 0 & 1 & 0 \\ 0 & 1 & -1/2 & 1 \end{bmatrix} \quad (34)$$

Transition matrix from  $B'$  to  $B''$  is then

$$P^{(-1)} = \begin{bmatrix} 1 & 0 \\ -1/2 & 1 \end{bmatrix} \quad (35)$$

To construct the third tableau in Table 3, we multiply the augmented matrix in the second tableau with the transition matrix when the basis is changing from  $B'$  to  $B''$ . So we get the augmented matrix of the third tableau

$$P^{(-1)} \cdot \text{AUGMENTED MATRIX} = \begin{bmatrix} 1 & 0 \\ -1/2 & 1 \end{bmatrix} \begin{bmatrix} 8 & 1 & 2 & 0 & 1 & 0 \\ 6 & 1/2 & 1/2 & 1 & 0 & 1/2 \end{bmatrix} =$$

$$= \begin{bmatrix} 8 & 1 & 2 & 0 & 1 & 0 \\ 2 & 0 & -1/2 & 1 & -1/2 & 1/2 \end{bmatrix} \quad (36)$$

In the third tableau there are no negative elements in the bottom row  $z_j - c_j$ . So the optimal solution is 22 monetary units (subsequently referred to as m.u.).

$$(x_1, x_2, x_3, s_1, s_2) = (8, 0, 2, 0, 0) \quad (37)$$

$$z_{max} = 2x_1 + x_2 + 3x_3 = 2 \cdot 8 + 1 \cdot 0 + 3 \cdot 2 = 22 \text{ m.u.} \quad (38)$$

Table 3: Third (optimal) simplex tableau

$c_B$	BASIC	$c_j$	2	1	3	0	0	
	VARIABLES	$x_B$	$x_1$	$x_2$	$x_3$	$s_1$	$s_2$	
2	$x_1$	8	1	2	0	1	0	
3	$x_3$	2	0	-1/2	1	-1/2	1/2	
	$z_j$	22	2	5/2	3	1/2	3/2	
	$z_j - c_j$	----	0	3/2	0	1/2	3/2	
			NO NEGATIVE ELEMENTS IN $z_j - c_j$					

Recall that in the initial simplex tableau the coefficients in the pivot column are the coordinates of  $\mathbf{a}_3$  relative to the basis  $B$ . But for the third simplex tableau we have another basis  $B''$ . The coefficient vector of  $x_3$  in the third simplex tableau gives us the coordinates of  $\mathbf{a}_3$  relative to the basis  $B''$ .

First,  $\mathbf{a}_3$  is written as a linear combination of  $\mathbf{a}_1$  and  $\mathbf{a}_3$ .

$$(0,2) = c_1(1,1) + c_2(0,2) \quad (39)$$

Then, the following system of linear equations is obtained.

$$\begin{aligned} c_1 &= 0 \\ c_1 + 2c_2 &= 2 \end{aligned} \quad (40)$$

We can see that

$$\begin{bmatrix} c_1 \\ c_2 \end{bmatrix} = \begin{bmatrix} 0 \\ 1 \end{bmatrix} \quad (41)$$

So  $[\mathbf{a}_3]_{B''}$  is

$$[\mathbf{a}_3]_{B''} = \begin{bmatrix} 0 \\ 1 \end{bmatrix} \quad (42)$$

The same holds for the coefficient vectors of  $x_1, x_2, s_1$  and  $s_2$  as well.

### 5 Economic interpretation of the coordinate vectors in the optimal simplex tableau

The optimal simplex tableau in Table 3 shows that 8 units of  $x_1$  and 2 units of  $x_3$  should be produced to get 22 m.u.  $x_2$  is a nonbasic variable which means that no unit of  $x_2$  should be produced.

Let  $\mathbf{y}_2$  be the coordinate vector of  $\mathbf{a}_2$  relative to the basis  $B''$  in the optimal simplex tableau. So  $\mathbf{y}_2$  is

$$\mathbf{y}_2 = \begin{bmatrix} 2 \\ -1/2 \end{bmatrix} = [\mathbf{a}_2]_{B''} \quad (43)$$

and we can obtain  $\mathbf{a}_2$  by

$$B''\mathbf{y}_2 = \begin{bmatrix} 1 & 0 \\ 1 & 2 \end{bmatrix} \begin{bmatrix} 2 \\ -1/2 \end{bmatrix} = \begin{bmatrix} 2 \\ 1 \end{bmatrix} = \mathbf{a}_2 \quad (44)$$

$\mathbf{a}_2$  can be represented by a linear combination of  $\mathbf{a}_1$  and  $\mathbf{a}_3$ .

$$\mathbf{a}_2 = 2\mathbf{a}_1 - \frac{1}{2}\mathbf{a}_3 \quad (45)$$

(45) tells us how much more or less we should produce of  $x_1$  and  $x_3$  if we want to produce one unit of  $x_2$ .

In the simplex algorithm basic variables can be represented by

$$\mathbf{x}_B = (B)^{-1}\mathbf{b} - \sum_{j \in J} [\mathbf{y}_j]x_j \quad (46)$$

where  $J$  is the set of the indices of the nonbasic variables [5]. Therefore we can get

$$\frac{\partial \mathbf{x}_B}{\partial x_j} = -\mathbf{y}_j \quad (47)$$

where  $(-\mathbf{y}_j)$  shows the rate of change of the basic variables as a function of the nonbasic variable  $x_j$ . If we increase  $x_j$  by one unit, the  $i$ th basic variable  $x_{Bi}$  should be decreased by an amount  $y_{ij}$ . This can be expressed by

$$\frac{\partial x_{Bi}}{\partial x_j} = -y_{ij} \quad (48)$$

Going back to Example 3, we have

$$\frac{\partial \mathbf{x}_B}{\partial x_2} = -\mathbf{y}_2 = \begin{bmatrix} -y_{12} \\ -y_{22} \end{bmatrix} = \begin{bmatrix} -2 \\ 1/2 \end{bmatrix} \quad (49)$$

(49) tells us that if we want to produce one unit of  $x_2$  we should decrease the production of  $x_1$  by 2 units and increase the production of  $x_3$  by  $\frac{1}{2}$  unit. Substituting these values for  $x_1, x_2$  and  $x_3$  in the constraints of Example 3, we see that

$$\begin{aligned} x_1 + 2x_2 &\leq 8 \Rightarrow (8 - 2) + 2 \cdot 1 = 8 \\ x_1 + x_2 + 2x_3 &\leq 12 \Rightarrow (8 - 2) + 1 + 2(2 + 1/2) = 12 \end{aligned} \quad (50)$$

are satisfied in equality. But if we substitute these values in the objective function we see that

$$z_{max} = 2x_1 + x_2 + 3x_3 = 2(8 - 2) + 1 \cdot 1 + 3(2 + 1/2) = 41/2 \text{ m.u.} \quad (51)$$

gives us less profit than before. To make the same profit as before, we should increase the marginal profit of  $x_2$ . By using the trick  $z_j = c_j + (z_j - c_j)$  we can calculate how much the new marginal profit of  $x_2$  should be to make the same profit as before

$$z_2 = c_2 + (z_2 - c_2) = 1 + 3/2 = 5/2 \text{ m.u.} \quad (52)$$

(52) tells us that the marginal profit should be  $5/2$  m.u. to make the same profit as before because

$$z_{max} = 2x_1 + 5/2x_2 + 3x_3 = 2(8 - 2) + 5/2 \cdot 1 + 3(2 + 1/2) = 22 \text{ m.u.} \quad (53)$$

## 6 Conclusion

Every time the simplex algorithm calculates the next tableau, coefficient matrix of the original standard problem is multiplied by the inverse of the basis matrix of the actual tableau by using the formula  $B^{-1}\mathbf{a}_j = \mathbf{y}_j$ . This paper shows that the next tableau can be calculated by multiplying the transition matrix by the actual augmented matrix by using the formula  $P^{-1}\mathbf{y}_j = \mathbf{y}'_j$ .

In each tableau, the coordinate vector of a variable gives us the coordinates relative to the actual basis. In this paper, we made an economic interpretation of that coordinate vector.

## 7 Acknowledgements

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## The Differential Effect Of Auditor Type on the Value Relevance of Earnings and Book Values: Evidence from Listed Firms in Nigeria

**Asmau Mahmood Baffa**

Department of Accounting, Bayero University Kano, Nigeria

**Jibril Ibrahim Yero**

Department of Accounting, Ahmadu Bello University, Zaria, Nigeria

### Abstract

A determining factor of investors' decision is mostly represented by the auditing of financial statements carried out by a Big4 company, because investors appreciate the quality of the auditing service in terms of image, size and reputation of the auditing firm. This study examines the differential effect of auditor type classified as Single Big4 audit firm; Single Non-Big4 audit firm; and joint audit team of Big4/Non-Big4 audit firms, on the value relevance of earnings and book values of listed firms in Nigeria. A sample of one hundred and seventeen listed (117) firms trading on the floor of Nigerian Stock Exchange from 2009 to 2015 were examined. The study adopted Ohlson model (1995) modified to include auditor type variable and control variables. A simultaneous pooled OLS regression using the Seemingly Unrelated Regression Estimates (SUEST) approach was utilized in running the analysis of all relevant data collected. The findings of the study reveal that while Nigerian investors perceive the earnings of firms audited by a Single Big4 to be of high quality, they seem indifferent as to whether it is audited by a joint audit team of Big4/Non-big4, or a Single Non-Big4 audit firm. The study therefore recommends that investors looking for more value relevant EPS should focus on firms audited by single Big4, since they are more likely to have greater value relevant earnings with stronger positive connection to price.

**Keywords:** Joint audit, single audit firm, share prices, earnings, book values, Nigeria

### 1. Introduction

Value relevance research is primarily carried out in order to examine whether companies' financial statements provide users of financial reports with high quality and valuable accounting information that will enable them to make informed decisions. Value relevance of accounting information addresses the degree to which accounting information is impounded in share prices. Such researches examine the association between share prices or returns as a dependent variable, and a set of independent variables (earnings, book values, and any other relevant accounting information). Thus, accounting information is considered value relevant from an investor's perspective, when there is a significant statistical association between the independent variables with the dependent variable. Such researches have empirically established that the higher the association, the higher the financial reporting quality, and the more reliable and useful the accounting numbers reported are, to the valuation decisions of investors (Francis & Schipper, 1999; Barth, Landsman & Lang, 2006; Banimahd, Poorzamani & Ahmadi, 2013).

Accordingly, when making decisions about capital allocation, investors need to know that the financial information they are given is credible and reliable (Schilder, 2011). Empirically, an accounting amount is deemed value relevant with some reliability if it increases the power of the estimating equation in assessing market values (Barth, et al., 2006). But, the reliability of the accounting information provided in the audited financial report is the crux of the problem faced by users of financial statements especially investors in their decision making process. Auditors, by doing audits in accordance with the Generally Accepted Auditing Standards (GAAS), will attest to the fairness of corporate financial reports by detecting and reporting material deviations from the generally accepted accounting standards to various stakeholders (Lai, Lin, Li & Wu, 2009).

Users of financial information therefore, place their reliance on the information contained in audit reports as a platform for their decision making purpose largely based on the assurance that the information obtained from the audited financial

statements is reasonably accurate, complete and unbiased. This is because audited annual reports generally represent the most significant feature of the audit process used by auditors to offer an independent, objective and professional opinion regarding the true and fair view of the financial position and performance presented by the company's management in the financial statements (Al-Thuneibat, Khamees, & Al-Fayoumi, 2008). Moreover, the effective functioning of the capital markets is achievable only when investors and other stakeholders have sufficient confidence in the audited financial statements.

As such, the major rationale proposed in the literature for a company to hire an auditor and to accept the additional monitoring by an external party, is derived from the Agency Theory, because, the choice of a specific auditor is linked with arising agency costs, resulting in directors of companies making this decision with the goal of reducing agency costs caused by several information asymmetries arising in a company's environment. Accordingly, the ability of an external auditor to qualify an audit opinion indicates some level of independence and quality. Consequently it is expected that the type of auditor can be used in gauging the reliability of audited financial reports and hence impact positively on the value relevance of accounting information by sending a positive signal to capital market.

Auditor type is defined in this study as the category of independent audit firm(s) engaged by an entity to perform its audit in accordance with statutory regulation and professional requirements. The audit firm in accounting literature is broadly categorized according to variations in firm size, mostly in line with either big x/non-big x firm or a joint audit team. As such, the study further categorizes auditor type into three classes; Single Big4, Single Non-big4 and joint audit team of Big4/Non-big4 audit firms looking at the audit firm structure in Nigeria. The single audit firm category refers to the engagement of one distinct audit firm either a Big4 or a Non-big 4 firm, while the joint audit refers to the engagement of two audit firms of Big4/Non-big4 audit firm. However, it should be noted that joint audit generally refers to the engagement of either a Big4/Big4 or Big4/Non-big4 audit firms.

In the accounting literature, a significant issue frequently raised is whether opinion of auditors from large firms differs to a large extent from those of auditors engaged by other firms. Extant literature attempted to find the relationship between auditor type (categorized using the Big x / Non-Big x dichotomy) and audit independence with majority of the results of these researches concluding that big audit firms have more independence and higher quality in their audit work (De-Angelo 1981; Francis & Wilson, 1988; DeFond, 1993; Francis & Yu, 2009; Chen, Lin & Lin, 2008; Cheng, Liu, & Chien, 2009). The result of studies that evaluated the impact of joint audits on audit quality such as Ratzinger-Sakel, Lesage and Kettunen (2012) and Zerni, Haapamaki, Jarvinen and Neimi (2012) showed contradictory evidence, with the former indicating a negative significant relationship and the latter having a positive significant relationship.

Furthermore, other studies which examined the effect of auditor type categorized as single audit firms (big 4 or non-big 4) and joint audits (big 4 – big 4; or/and big 4 – non big 4) such as the studies of Deng, Lu, Simunic and Ye (2012); Alsadoun and Aljabir (2014); Guo, Koch and Zhu (2015) and Lobo, Pangam, Zhang and Casta (2016) on audit quality, cost of equity capital, conservatism, audit market structure and consumer surplus, respectively, obtained inconclusive findings. The above mentioned studies focused on investigating the impact of joint audit on financial reporting and audit quality, without looking at the investors' perception in the pricing of firms based on the auditor type. However, related studies on auditor type and value relevance of earnings and book values of Lee and Lee (2013) in Taiwan and that of Okolie (2014) in Nigeria considered auditor type using the Big4/Non-big4 dichotomy. This study uses a different approach considering the audit firm structure in Nigeria by classifying the auditor type as Single Big4; Single Non-big4; and joint audit team of Big4/Non-big4. The study also assesses the differential effects of these audit firm categories in addition to their effect on reported earnings and book values of equity. To the best of the researcher's knowledge, no study has used these two approaches.

Nigeria's economy is considered as the largest in Africa, and companies listed on the stock exchange can access long-term capital from a wide range of local and international investors. Listed firms on the Nigerian Stock Exchange (NSE) enjoy the benefits of trading domestically and globally, thereby, helping to distribute risk which gives initial investors the chance to realize some or all of their investments. Interest in the Nigerian stock market has grown as the investment culture in Nigeria has shifted to the capital market due to steps taken by the government to foster its development especially in the 20<sup>th</sup> century. As such, in order for the findings of the study to be generalized and for more robust and meaningful conclusions to be drawn, all listed firms actively trading on the floor of the stock exchange for the entire period of the study (2009 to 2015) were considered.

In light of the foregoing, a research of this nature can be considered relevant and justified, given the fact that the audit firm is the most significant factor attributed to the reliability of audited financial statements in making decisions by users.

Therefore, this paper contributes to the literature on different audit firm structures and their effects on the value relevance of earnings and book values in Nigeria. In order to achieve this aim, the study assesses whether Nigerian investors distinguish between audited financial reports derived from Single Big4 audit; joint audit team of 'Big 4/non Big4'; or Single Non-Big4 audit firms, when examining such reports for decision making. That is, do users' agree a Big4 audit firm's - audit report is more value relevant than Single Non-Big4 or a joint team of Big4/Non-Big 4 audit firms by testing the following null hypotheses:

- H<sub>01a</sub>: Reported earnings of Nigerian listed firms audited by a joint audit team of Big4/ Non-big4 is not significantly value relevant to Nigerian capital market investors.
- H<sub>01b</sub>: Reported book-value of Nigerian listed firms audited by a joint audit team of Big4/Non-Big4 is not significantly value relevant to Nigerian capital market investors.
- H<sub>02a</sub>: Reported earnings of Nigerian listed firms audited by a single Big4 firm is not significantly value relevant to Nigerian capital market investors
- H<sub>02b</sub>: Reported book-value of Nigerian listed firms audited by a single Big4 firm is not significantly value relevant to Nigerian capital market investors
- H<sub>03a</sub>: Reported earnings of Nigerian listed firms audited by a single non-Big4 firm is not significantly value relevant to Nigerian capital market investors
- H<sub>03b</sub>: Reported book-value of Nigerian listed firms audited by a single non-Big4 firm is not significantly value relevant to Nigerian capital market investors
- H<sub>04a</sub>: The value relevance of reported earnings for firms audited by a single Big4 firm is not significantly different from the value relevance of reported earnings for firms audited by a joint audit team of Big4/Non-Big4
- H<sub>04b</sub>: The value relevance of reported book-value for firms audited by a single Big4 audit firm is not significantly different from the value relevance of reported book-value for firms audited by a joint audit team of Big4/Non-Big4
- H<sub>05a</sub>: The value relevance of reported earnings for firms audited by a single Non-Big4 auditor is not significantly different from the value relevance of reported earnings for firms audited by a joint audit team of Big4 and Non-Big4
- H<sub>05b</sub>: The value relevance of reported book-value for firms audited by a single Non-Big4 auditor is not significantly different from the value relevance of reported book-value for firms audited by a joint audit team of Big4 and Non-Big4
- H<sub>06a</sub>: The value relevance of reported earnings for firms audited by a single Big4 is not significantly different from the value relevance of reported earnings for firms audited by a single Non-Big4
- H<sub>06b</sub>: The value relevance of reported book-value for firms audited by a single Big4 audit firm is not significantly different from the value relevance of reported book-value for firms audited by a single Non-Big4

The remainder of the paper is organized as follows: Section 2 illustrates audit and accounting environment in Nigeria as well as discusses relevant prior studies. Section 3 describes the research methodology. Section 4 presents the empirical results of this study. Finally, Section 5 gives a brief summary of findings, and conclusion.

## 2. Literature Review and Conceptual Issues

External auditors are entrusted by law with conducting statutory audits by offering an opinion on whether the financial statements reflect a true and fair view of the company's state of affairs. The objectivity of auditors in the course of their duties therefore, is of paramount importance as it guarantees independence and compels trust and confidence in the users of the financial statements. Audit quality plays an important role in upholding an efficient market environment because it

strengthens confidence in the credibility and integrity of financial statements which is essential for well-functioning markets (Farouk & Hassan, 2014) therefore, auditors are expected to be independent and objective at all times. Thus, the role of auditing is to improve the quality of financial statements as high quality reporting can reduce information asymmetry problems between the firm and providers of financing.

## 2.1 Regulatory Framework of Auditing Practice in Nigeria

A substantial proportion of practicing auditors in Nigeria are members of the Institute of Chartered Accountants of Nigeria (ICAN) and Association of National Accountants of Nigeria (ANAN). These professional bodies have rules guiding the conduct of members in practice. In the same vein, public limited companies in Nigeria are mandated by law to have their financial statements audited by an independent public accountant. Even though the responsibility for the preparation and presentation of financial statements of companies lie on the company directors, they have to be prepared in accordance with International Financial Reporting Standards (IFRS) and the provisions of Section 357 (1) of CAP C20 Laws of the Federation of Nigeria (LFN) 2004, and the Financial Reporting Council of Nigeria Act, No 6 (2011). This is to enable the preparation of the financial statements to be free from material misstatements. Similarly, the external auditor is responsible for auditing the financial statements of his clients in accordance with Generally Accepted Auditing Standards (GAAS) to offer reasonable assurance that the financial statements give a true and fair view of the companies' state of affairs (Olowookere & Inneh, 2016).

In Nigeria, the International Standards on Auditing (ISA) are mandatory for companies quoted on the Nigeria Stock Exchange (NSE) where Nigerian Auditing Standards do not exist. But due to the peculiarity of the Nigerian environment in July, 2006, nine (9) Nigerian Standards on Auditing (NSA) were issued. These claimed priority over the ISAs in the Nigerian context. The Nigerian Standards on Auditing (NSAs) are based on International Standards on Auditing (ISAs) of the International Auditing and Assurance Standards Board, published by the International Federation of Accountants (IFAC) in July 2012 and is used with permission of IFAC. The Nigerian Standard on Auditing (NSA) deals with the independent auditor's overall responsibilities when conducting an audit of financial statements in accordance with NSAs. Specifically, it sets out the overall objectives of the independent auditor and explains the nature and scope of an audit designed to enable the independent auditor to meet those objectives. NSAs became effective for audits of financial statements for periods beginning on/or after April, 2013 (NSA, 2013:4).

According to Olowookere and Inneh (2016), Nigeria has two thousand (2,000) audit firms providing audit services to both listed and unlisted companies in the country. However, notwithstanding the availability of various audit suppliers, statistically, the audit market is dominated by four large audit firms; Akintola Williams Deloitte (AKWD); Ernst and Young (E & Y); Klynveld, Peat, Marwick and Goerdeler (KPMG); and PriceWaterhouse Coopers (PWC). The 'Big Four' international accounting firms audit more than 90 percent of listed companies in Nigeria, with the remaining 10 percent audited by 15 national firms with international affiliation. Globally, the market share gap between the Big Four (Deloitte, E & Y, KPMG and PWC) and other firms have become wider potentially reducing the possibility for the small firms to become significant service providers in capital markets worldwide.

## 2.2. Audit Firm Size

Theoretically De Angelo (1981) states that the relationship between audit quality and auditor's size has been analyzed with observations positing that large auditors will have more clients and their total fees will be allocated among those clients. Also, she argued that large auditors can contain the loss of a client and therefore, will provide higher quality of audit. According to Jeong and Rho (2004), large international accounting firms have established brand reputation and have motives to maintain it by providing high-quality audit, as lack of financial affiliation with clients makes bigger auditors more independent. This independence provides big auditors with stronger negotiation stance with their chart compared with smaller audit firms (Nelson, Elliott & Tarpley, 2002).

Similarly, Woodland and Reynolds (2003) suggest that perhaps the most commonly used indirect measure of audit quality is the audit firm size dichotomized as Big  $x$  versus Non-Big  $x$  dichotomy. Theoretical motivation for Big  $x$  / Non-Big  $x$  dichotomy as an indirect measure of audit quality is strong, and empirical evidence on its performance generally supports its use (Simunic, 1980; DeAngelo, 1981; Francis & Wilson, 1988; O'Keefe et al. 1994; Moizer, 1997; Becker, Defond, Jiambalvo & Subramanyam 1998; Bauwhede et al., 2000; DeFond, Raghunandan, & Subramanyam, 2002, Krishnan & Schauer, 2000; Ebrahim 2001; Ferguson, Seow, & Young, 2003; Krishnan, 2003; Hussainey, 2009; Dang, Brown & McCullough, 2011; Lin & Tepalagul, 2012; Farouk & Hassan, 2014; Okolie & Izedonmi, 2014). Also, Colbert and Murray (1998) posit that one of the reasons why the evaluation of the relationship between auditor size using the Big  $x$  / Non-Big  $x$

dichotomy is important, is because users of audited financial statements can easily employ this observable dichotomy in their assessments of audit quality and the resulting financial statement credibility.

DeAngelo (1981) and Francis (2004) posit that accounting firm size is mostly used as a proxy for quality because no single client is important to a large auditor, and the auditor has a greater reputation to lose their clients if they misreport. However, an accounting firm with only one client may plausibly conclude that they have more to gain by going along with their client and misreporting than by being tough and potentially getting fired.

### 2.2.1 Joint Audit

Joint audit can be defined as an audit in which financial statements are audited by two independent auditors with any of the following characteristics which may differ across countries: shared audit effort; one single auditor's report signed by both auditors; and joint liability for both auditors (Ratzinger-Sakel, Audosset-Coulier, Kettunen, & Lesage, 2012). Generally, joint audit involves the appointment of a lead audit firm and a support audit firm by a client with the mandate to jointly carry out the audit of a given entity within a defined time period usually a year. A joint audit is an audit on a legal entity (the auditee) by two or more auditors to produce a single audit report, thereby sharing responsibility for the audit. A typical joint audit has audit planning performed jointly and fieldwork allocated to the auditors.

Joint audits contribute positively to audit quality, thereby giving credibility to financial statements because by appointing two different audit firms, the client firm allows audit firms to rotate, safeguarding auditor independence, but also retaining the remaining auditor's knowledge and understanding of the client's business operations, thereby avoiding the potential downside of auditor rotation of a discontinuity in competence. Additionally, the threat to auditor independence due to economic bonding is likely to be a less significant issue with the joint audit approach than it is with the single auditor approach, because, in joint audits, the audit fees and lucrative consulting fees are distributed between two different audit firms (i.e. there are lower fees at stake). Consequently, the two different audit firms may take a stronger stand against pressure from the managers and/or controlling owners and report their opinions on the clients' accounts more independently (Zerni, Haapamaki, Jarvinen, & Neimi, 2012).

Joint audits are not uncommon as since 1966, France has mandated joint audits of public companies. Similarly, joint audits are mandated for the financial services sector in South Africa. Various countries, such as India, Germany, Switzerland, and the U.K., have proposed voluntary joint audits. Several studies have analyzed the effect of joint audit regulations on audit quality. Francis et al. (2009) examine joint audit and its effects on audit quality in France, where joint audits are mandatory, and report evidence consistent with an agency-driven demand to employ higher quality auditor pairs. They also find that client firms employing higher quality auditor pairs have smaller abnormal income-increasing accruals than the firms that do not use Big 4 auditors (i.e. those that use two non-Big 4 auditors) and that this effect is strongest when client firms use two Big 4 auditors. In Nigeria, joint audit is voluntary.

### 2.3 Earnings, Book Values and Market Value

Market value is one of the most important factors which affect investors' investment decision. According to Sharma (2011), a market value is the price of a single unit of saleable shares of a company, which represents the balance struck between the buyers and sellers at a particular moment, viewed as the collective wisdom and knowledge of the market. Changes in prices of shares determine the return on investment on the shares. The market value is therefore, considered as one of the most important factors which affect investors' investment decisions. The market value is mainly determined by the forces of demand and supply of a particular security in the market, and can be obtained from the stock exchange market (Zahir & Khanna, 1982).

Suggestions from empirical studies reveal that Earnings per Share (EPS) is one of the strongest factors affecting the share price or market value (Sharma, 2011). The pioneers of the studies on determinants of share price were Collins (1957) and Gordon (1959). Both of them in their independent studies identified earnings as one of the factors influencing share prices. Beaver (1998) postulates that current period earnings provide information to predict future periods' earnings. The future periods' earnings provide information to develop expectations about dividends in future periods. This in turn provides information to determine share value and hence the share price. In an ideal situation, the difference between the book and market values (share price) of equity is minimal (Barth, 1991), but in more pragmatic settings, there have always been cases where a considerable variance exists between the market and book value of a business.

Empirical studies have provided evidences of EPS and BVPS being significantly value relevant to users of accounting information, however, some of these studies indicate EPS being more value relevant than BVPS (e.g. El-Shamy & Kayed, 2005; Keener, 2011; Shamki & Abdulrahman, 2012;) while others indicate BVPS being more value relevant than EPS (e.g. Gee-Jung & Kwon, 2009; Qua & Zhang, 2012; Chandrapala, 2012; Aleksanyan & Karim, 2013). Thus, contemporary researches of value relevance are now focused on finding out which of these two variables (EPS or BVPS) is more value relevant to investors, with this study also seeking to provide an empirical evidence in this line particularly as it relates to auditor type of listed firms in Nigeria.

#### 2.4 Auditor Type and Market Value

An influencing factor of the share price is mostly represented by the auditing of financial statements carried out by a Big 4 company, because investors appreciate the quality of the auditing service in terms of image, size and reputation of the auditing company (Martinez, Vico, & Benau 2004; Robu & Robu, 2015). The auditors of a company in the Big 4, considered a large company, are allowed to spend much time with training and getting to know the latest technologies that are used in the field, thus developing their professional competences. Also, due to the fact that a company in the Big 4 does not depend on a single client, it can resist the pressures of the client in terms of opinion freedom (Boone, Khurana & Raman, 2010). Thus, if a listed company aims to increase its share price, it can choose a famous auditing company known by investors.

Investigating the market reaction to auditor switching from big 4 to third-tier small accounting firms Chang, Cheng and Reichelt (2010) used two separate sample periods of regulatory changes (2002 to 2006). The result showed a relatively more positive stock market reaction to clients switching from a big 4 to a smaller third-tier auditor in period 2. When an audit quality is decreasing, this relatively more positive reaction in period 2 reflects companies seeking better services rather than a lower audit fee. In examining whether audit quality can increase the value relevance of fair value accounting, the study results of Kang-Tao and Ying-Li (2011) indicate that fair value accounting information has incremental value relevance and Big 4 auditing firms can improve the value relevance of fair value accounting information.

The joint audit study of Holm and Thinggaard (2011) and Ratzinger-Sakel et al. (2012) examine whether joint audit impacts audit quality of non-financial companies listed on the Copenhagen Stock Exchange (CSE) in the Danish setting. Their findings confirm that joint audits do not have an impact on audit quality, as measured by the level of abnormal accruals, in Denmark. However, the study of Zerni et al. (2012) on the impact of voluntary joint audit on audit quality of listed non-financial companies in the Swedish setting for the 2001- 2007 period, suggests that companies opting voluntarily for joint audits have a higher degree of earnings conservatism, lower abnormal accruals (proxy measures for audit quality), better credit ratings and lower risk forecasts of becoming insolvent within the next year than other firms (proxy measures for perceived audit quality).

The findings of Zerni et al. are consistent with the view that joint audits improve both audit quality and perceived audit quality. The authors acknowledge that opting for voluntary joint audit is not a random choice, as Swedish minority shareholder protection legislation stipulates that minority shareholders who have, in total, at least 10 per cent of a firm's shares have the right to require the appointment of a minority auditor. Hence the joint audit decision might be driven by minority shareholders who prefer a higher degree of conservatism in the firm's accounting decisions.

Assessing the value relevance of the audit report, auditor type and auditor tenure in Iran, Banimahd, Poorzamani and Ahmadi (2013) used multiple regression analysis approach (Ohlson model - 1995) and the results obtained indicate that audit report and audit quality is not valued by the capital market in Iran. However, auditor type (audit firm size) was found to be positively significant suggesting that firms audited by public audit organizations give a positive signal and lead to the market reaction in the Iranian capital market over those using private audit firms. Lee and Lee (2013) examined whether big 4 firms improve the value relevance of earnings and equity. Evidence from the Taiwan capital market reveal that the earnings and book value of equity audited by Big 4 auditors explain more variations in stock return than those audited by Non-big 4. Also, Ardiana (2014) investigates the effect of external audit characteristics on the value of company. Multiple regression analysis was used to establish the relationship between audit tenure, firm size opinion, and firm value. The study finds that higher value of company is achieved by shorter audit tenure, brand name audit firms, and unqualified audit opinion.

Furthermore, the results of the study of Okolie (2014) on audit firm size and market price per share of quoted companies in Nigeria indicate that audit firm size exerts significant influence on the market price per share of quoted companies in Nigeria with the study providing evidence of a positive significant effect of big 4 firm on share price. Guo, Koch and Zhu (2015) studied on how introducing a joint audit requirement will affect audit market structure and social welfare in the UK

market using the structural estimation approach model, and categorising audit firm size into small sized, medium sized and big 4 groups. Findings reveal that medium-sized audit firms and small audit firms gained market share at the expense of three of the big four audit firms. Interestingly, the largest audit firm was able to maintain its market share.

Analyzing the influence of audit report on the relevance of accounting information reported by listed Romanian companies, Robu and Robu (2015) used ANCOVA regression analysis, and the findings reveal that audited financial statements have a significant influence on the stock return, depending on the opinion in the audit report and on the auditor's Big 4 membership. Similarly, Robu and Robu (2016) analyzed whether the adoption of IFRS makes auditors' affiliation to the Big 4 and the audit opinion to be value relevant for investors of 59 companies listed on Bucharest Stock Exchange (BSE). The results achieved from the Ohlson and Feltham (1995) regression analysis indicate that information provided by the audit report, auditors' affiliation to the Big 4 and the audit opinion, are value relevant for investors and have a significant impact on the share price.

## 2.5 Theoretical Framework

The agency theory is the most prominent and widely used audit theory of the existing theories in auditing. Watts and Zimmerman (1986) suggest that the auditor is appointed in the interests of both the management and the third parties. However, since the focus of financial reporting has shifted from being carried out for monitoring purposes, to focus more on the needs and the provision of information to enable users to take economic decisions (Higson, 2003), an alternative or complement to the monitoring hypothesis is the *information hypothesis*. Consequently, the audit is valued by investors as a means of improving the quality of financial information (Wallace, 1980).

Investors require audited financial information in order to take and assess decisions regarding their investments' and expected returns and/or risks, respectively. Therefore, they value the audit as a means of improving the quality of financial information, and also as a means of improving the financial data used in internal decision making. Information hypothesis emphasizes that financial information is needed by investors to determine market values, which are a means of making rational investment decisions, even in the absence of an explicit contract with the agent (Wallace 1980). As such, if investors are aware of the information asymmetry and the fact that insiders can profit on value relevant information before public disclosure, they can alternatively adapt their trading behaviour, leave the market (Merton, 1987) or react to the information asymmetry and the risk of insider trading by gathering information themselves or obtaining information from intermediaries (Barth, Kasznik & McNichols, 2001). The information environment is closely related to the latter choice of action and refers to the richness of the information available concerning the firm. Specifically, for larger firms there is greater distribution of firm-specific information on the market from both accounting and non-accounting sources (Mitra & Cready, 2005).

## 3. Methodology

The study adopts a correlational research design, and secondary data was obtained from a population of one hundred and thirty eight (138) actively trading companies listed on the Nigerian Stock Exchange that had readily available 2015 data. However, a total of twenty (20) firms with unavailable inputs in some years were filtered out, resulting in one hundred and seventeen (117) quoted companies to form the sample size of the study over a period of seven years from 2009 to 2015. Relevant data were extracted from audited annual reports and accounts of sampled firms and the share price data was extracted from [www.cashcraft.com](http://www.cashcraft.com) which is a financial data base in Nigeria owned and managed by Asset Management Limited a member of the Nigerian Stock Exchange. The study uses the Ohlson (1995) price model modified to include auditor type variables as well as control variables in order to test the hypotheses of the study. Following the model, market value is regressed on earnings, book values and auditor type to substantiate the relationship between accounting measures and market price.

A simultaneous Pooled OLS regression using the Seemingly Unrelated Estimates Regression (SUEST) approach was utilized in running the analysis. SUEST was used because apart from testing coefficients across different equations, it also takes into account the differences in the compositions of the partitioning variables.

### 3.1 Model Specification

The following equations present the regression models for this study which are estimated individually and then simultaneously at once, to facilitate the test of coefficients across equations.

$$\left\{ \begin{array}{l} MVPS_{it} = \beta_0 + \beta_1 EPS_{it} + \beta_2 BVPS_{it} + \lambda_1 COMSIZE_{it} + \lambda_2 COMGRWT_{it} + \epsilon_{it}, \quad \text{IF BIG4\_NON\_BIG4} \dots\dots\dots (1) \\ MVPS_{it} = \beta_0 + \beta_1 EPS_{it} + \beta_2 BVPS_{it} + \lambda_1 COMSIZE_{it} + \lambda_2 COMGRWT_{it} + \epsilon_{it}, \quad \text{IF BIG4} \dots\dots\dots (2) \\ MVPS_{it} = \beta_0 + \beta_1 EPS_{it} + \beta_2 BVPS_{it} + \lambda_1 COMSIZE_{it} + \lambda_2 COMGRWT_{it} + \epsilon_{it}, \quad \text{IF NON\_BIG4} \dots\dots\dots (3) \end{array} \right.$$

Where:

$MVPS_{it}$  represents market value (share price) of company  $i$  at time  $t$ ;

$EPS_{it}$  represents earnings per share of firm  $i$  at time  $t$ ;

$BVPS_{it}$  represents book value per share of firm  $i$  at time  $t$ ,

$COMSIZE_{it}$  represents company size of firm  $i$  at time  $t$ ,

$COMGRWT_{it}$  represents company growth of firm  $i$  at time  $t$ ,

$i$  denotes a specific firm and  $t$  is the financial year

$\beta_0$  is the intercept

$\beta_1, \beta_2, \beta_3, \dots$  represent the coefficients of independent variables

$\lambda_1, \lambda_2, \lambda_3, \dots$  represent the coefficients of control variables

$\epsilon$  is the random error term

**Table 1: Study Variables and Measurement**

S/N	Variables	Type	Measurement
1	Market Value per Share (MVPS)	Dependent	Share price at four months after the end of financial year
2	Earnings Per Share (EPS)	Independent	From Income Statement
3	Book Value Per Share (BVPS)	Independent	Equity divided by outstanding shares at the end of financial year.
4	Auditor Type (AUDIT_TYPE)	Independent	Nominal scale of 1, 2, 3, for joint audit (big4- Non_big4), Single big4, and Single non_big4 respectively
5	Company Size (COMSIZE)	Control	Natural Log of total assets at the end of financial year
6	Company Growth (COMGRTH)	Control	Market value per share to book value of equity at end of financial year

Source: *Researchers' Compilation*

#### 4. Discussion of Results

The study used a balanced panel data of one hundred and seventeen listed firms on the Nigerian Stock Exchange (NSE) over a period of seven (7) years from 2009 to 2015 resulting in a total of 819 observations. The results obtained from the analysis of data are presented and discussed as follows:

##### 4.1 Descriptive Statistics

Table 2 presents the descriptive statistics of the study variables. Looking at the table, it can be observed that the average of market values per share (MVPS) for the entire firms under study stand at approximately 20.27 (Nigerian Naira). The minimum share price for all sampled firms is 50 kobo, the maximum is 1,040 Naira. This wide variation can be evident in the high standard deviation of about 69.25 which is outside the range of a normal distribution. Earnings per share (EPS) of the firms under study averaged at 1.14 Naira. This average factored in the losses incurred by some firms during the study period. This accounts for the lowest EPS figure of -24 Naira, indicating that some investors lost about 24 Naira of accounting earnings for every 20.27 Naira market value invested (if we are to go by the average of MVPS, ignoring initial market values). Nevertheless, some investors gained as high as 37.57 Naira for every 20.27 Naira invested during the period. That is approximately 85% earnings returns (if we are to ignore the capital appreciation). The standard deviation for EPS, though

far lower than that of MVPS, is still out of normal range. Thus, this analysis should be viewed in light of this deviation's extent.

The book value per share (BVPS) yields an average of 7.93 Naira. Adding this to the average earnings of 1.14 Naira gives us 9.7 Naira worth of book assets for each share of 20.27 Naira. Ignoring the variation, one may be quick to perceive overpricing of these shares, considering the high market to book ratio. Looking at the dispersion indices however, it can be evident that while some firms have a negative net worth of as low as -30.71 Naira, other firms have a positive net worth of as high as 321.02 Naira for every 20.27 Naira market value of shares.

The variable AUDIT\_TYPE is a factor variable on a nominal scale of 1 to 3. It's minimum and maximum is there to verify the correctness of the coding. No out of range code is evident there in. The control variables, firm size (COMSIZE) and firm growth (COMGRTH), respectively produced average of a natural logarithm of assets' book value of about 4.24 and a ratio of 5.497. While the statistics reveal a less noisy distribution of COMSIZE (with a standard deviation of 0.9), the COMGRTH statistics show a significant dispersion among the firms, in terms of growth, having a standard deviation of 78.9. This is further highlighted in the minimum and maximum figures. The figures show that some firms experienced very low (as low as a market-to-book ratio of -1176.194) growth opportunities as gauged by the market, while others experienced very high growth opportunities (as high as a market-to-book ratio of 1690.626), based on market's assessment.

The above statistics should be viewed in light of the distribution of the firms based on their respective audit types. Of the 819 firms' years observations, only 30 of these engaged the service of joint audit teams, the rest engaged single audit teams. Among the single audit classification, about 296 firms' years engaged the service of non big 4, while majority of the firms' years patronized big 4 audit teams. In all likelihood therefore, the above may hold more for firms using single audit firms and even better possibly for firms patronizing single big four audit firm.

**Table 2: Descriptive Statistics**

VARIABLES	MEAN	STANDARD DEV	MINIMUM	MAXIMUM
MVPS	20.272	69.246	0.5	1040
EPS	1.143	3.725	-24	37.57
BVPS	7.934	18.370	-30.71	321.02
AUDIT TYPE	2.324	0.541	1	3
COMSIZE	4.237	0.900	2.069	9.357
COMGRTH	5.497	78.943	-1176.194	1690.626
FREQUENCY	BIG4_NON_BIG4	BIG4	NON_BIG4	TOTAL
	30	493	296	819

Source: Author's computation using Stata-13 Software

It should be noted that, in view of the technique of hypotheses testing which the study has opted for, the perceived noisiness in most of the variables distributions, may not affect the validity of the findings. The study estimated three OLS regression results, simultaneously, with a robust standard error. This takes care of any possible inconsistency or biasness which may affect the error terms due to data noisiness. This result is presented and interpreted in the next subsection.

## 4.2 Hypotheses Test Results

This section presents the results of simultaneous regression results, as well as the equality of coefficient tests carried out by the study. Based on the study's objectives, the analysis was conducted with a view to ascertaining the extent to which auditor type affects the value relevance of earnings and book value, as well as whether, the effect varies significantly among audit type categories. Table 3 presents a summary of the simultaneous regression results using SUEST approach. Detailed results (direct outputs), including the initial non-simultaneous regression results, can be found in the appendix section. Following the table is a discussion of the results.

**Table 3: Pooled OLS Regression (SUEST with Robust Standard Error) Results**

MEAN COEFFICIENT (T-VALUE) SIG			
	BIG4	NON_BIG4	BIG4+NONBIG4
EPS	16.292 (5.33)***	0.859 (1.29)	-0.625 (-1.39)
BVPS	0.221 (1.50)	0.895 (2.22)**	1.074 (3.47)***
COMSIZE	-2.178 (-0.72)	3.050 (1.63)	-4.301 (-3.62)***
COMGROWTH	0.000 (0.05)	.055 (2.57)***	-0.340 (-0.26)
CONSTANT	9.624 (0.90)	-8.881 (-1.29)	26.401 (3.74) ***

SOURCE: Author's computation using Stata-13 Software

(asterisks \*\*\*, \*\* and \* represent 1%, 5% and 10% level of significance)

From table 3, the earnings response coefficient (EPS loading) for firms that were audited by a joint audit service of Big4 and non big4 auditors, is positive. The corresponding z-value however is not significant even at 10%. This means that for our sampled firms/years, joint audit service does not have a significant effect on the value relevance of earnings. With this, the hypothesis Ho1a is retained. For firms' years that employed the service of single Big4 auditors, the coefficient is positive and significant. It indicates that for every one unit increase in EPS of the firms audited by a single big4 auditor, MVPS increased by approximately 16.3% of a unit share's value. This is significant even at 1% level. This therefore led us to reject the null hypothesis Ho2a and uphold that big4 audit firms have a significant positive effect on the value relevance of earnings. Beta of EPS for non-big4 is negative. It means that investors perceive the reported earnings of firms under the watch of non-big4 in a bad light. However, this finding is not significant. We thus fail to reject the null hypothesis Ho3a.

Regarding the factor loadings of BVPS, while this is significant for all the three categories of auditing, the loading is not significant for firms using single big4 but significant for firms using either of non-big4 of joint audit of big4 and non big4. Based on these, we hence reject H01b and H03b and fail to reject H02b. The control variables, COMSIZE is negatively and significantly value relevant only for firms using a joint audit service. This is plausible, considering that smaller firms taking a serious approach to the auditing of its books, is indeed a sign of reliability. COMGRTH is positive and significant only for non-big4 firms' years. The cogency here could be that high growth firms may not spare the extra penny in hiring big4 audit firms or even big4 plus non-big4 firms.

The following table depicts the result of equality of coefficient tests carried out after the SUEST estimates. This result is used in testing whether the effects of audit type on the value relevance of earnings and book value is significantly different among firms under the different categories of audit types (H04a&b, H05a&b and H06a&b). Following the table is a discussion on the table's content. Detailed results can be found in the appendix section.

**Table 4: Equality of Coefficient Test Results**

TEST PARAMETERS	EPS	BVPS
BIG4_NONBIG4 = BIG4	29.97***	6.16 ***
BIG4_NONBIG4 = NON-BIG4	3.41*	0.12
BIG4 = NON-BIG4	24.32***	2.47

SOURCE: Author's computation using Stata-13 Software

(asterisks \*\*\*, \*\* and \* represent 1%, 5% and 10% level of significance)

From table 4, the chi-2 statistics for the tests of whether the effect of big4 audit firms on the value relevance of EPS is significantly different from the effect of joint audit team (big4\_non\_big4) on the value relevance of EPS, is significant even at 1%. This shows that the two effects are significantly different. To fully discern which of the effect is greater than which, we refer back to the initial regression coefficients initially estimated (table 3). It shows that the earnings response coefficient of big4 audited firms is greater (bigger z-value) than that of the firms under joint audit. Thus, we conclude here that the EPS of firms audited by a Big4 audit firm is of significantly greater value relevance than that the EPS of firms audited by joint audit (big4 and non-big4). We therefore reject H04a.

H04b too is rejected since the reported chi-2 is significant. However, here, it is the coefficient of BVPS for firms under the joint audit that is significantly greater (see table 3). For firms under either of joint audit or non-big4, there seems not to be any significant difference in both EPS and BVPS, i.e. the market is indifferent as regards to the earnings and book value information supplied by firms audited by a joint audit or a single non-big4. Thus, the study fails to reject both H05a and H05b. The evidence as well favors rejecting H06a, in as much as the chi-2 result for testing the equality of EPS coefficients of big4 versus non-big4 is significant. Combining this result with the regression result will led to conclusion that in fact, the effect of big4 on the value relevance of earnings is significantly greater than the effect of non-big4. The same however cannot be said on the book value (insignificant chi-2 of 2.47). Here, though non-big4 has bigger effect on the value relevance of BVPS, the evidence is however not statistically significant. For this fact, the study retains H06b.

## 5. Conclusion

The study investigates the extent to which auditor type affects the value relevance of earnings and book value, using listed firms in Nigeria for a period seven years. Based on the study's findings, it was discovered that, while Nigerian investors perceive the earnings of firms audited by a single big4 to be of high quality, they seem indifferent as to whether it is audited by a joint audit or a single non-big4 auditor. This supports the free rider hypotheses. In a joint auditing, it is possible for one auditor to freely ride on the effort of the other without providing appropriate level of effort, by relying on the other auditor's work. The market therefore, may value a single auditor with established reputation to guard (like the big4) than a joint audit team, or another single auditor with not much to loose as a reputation. In addition, considering big4 as a symbol of quality, the findings implies that either Nigerian investors do not value firms' net worth as they value earnings and as such they are mostly investors with short term profit motive, or that they trust a joint audit team or a single small auditor to do a better job at scrutinizing firms reported net worth.

In view of the foregoing, we recommend that investors looking for more value relevant EPS should focus on firms audited by single big4, as firms audited by big4 are more likely to have greater value relevant earnings (with stronger positive connection to price). Our findings are in line with the findings of related studies of Deng, Lu and Simunic (2012); Lee and Lee (2013); Alsadoun and Aljabr (2014) and Okolie (2014). Lastly, this study is not without limitation. The study used a pooled OLS regression in estimating the relationship. Though with robust standard error, the technique failed to take account of the possibility of unobservable panel effects which may also contribute to the relationship. The study therefore recommends further studies to take this into account. The validity of the technique is however unaffected by this limitation and hence the results and findings can be relied upon.

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**APPENDICES**

**DESCRIPTIVE STATISTICS**

. summarize mvps eps bvps auditype comsize comgrth

Variable	Obs	Mean	Std. Dev.	Min	Max
mvps	819	20.27226	69.24603	.5	1040
eps	819	1.143407	3.724673	-24	37.57
bvps	819	7.934396	18.37026	-30.71	321.02
auditype	819	2.324786	.5412189	1	3
comsize	819	4.237008	.9007122	2.069143	9.357426
comgrth	819	5.496741	78.94258	-1176.194	1690.626

**REGRESSION (SUEST) RESULTS**

. regress mvps eps bvps comsize comgrth comgrth if auditype==1  
note: comgrth omitted because of collinearity

Source	SS	df	MS	Number of obs = 30 F( 4, 25) = 9.70 Prob > F = 0.0001 R-squared = 0.6083 Adj R-squared = 0.5456 Root MSE = 7.141		
Model	1979.46128	4	494.86532			
Residual	1274.86035	25	50.9944142			
Total	3254.32163	29	112.217987			

mvps	Coef.	Std. Err.	t	P> t	[95% Conf. Interval]	
eps	-.6246955	.8446104	-0.74	0.466	-2.364203	1.114812
bvps	1.073473	.2337171	4.59	0.000	.5921232	1.554822
comsize	-4.301125	1.410379	-3.05	0.005	-7.205854	-1.396396
comgrth	-.3404236	1.021889	-0.33	0.742	-2.445044	1.764196
comgrth	0 (omitted)					
_cons	26.40131	7.935308	3.33	0.003	10.05823	42.74438

. regress mvps eps bvps comsize comgrth comgrth if auditype==2  
note: comgrth omitted because of collinearity

Source	SS	df	MS	Number of obs = 493 F( 4, 488) = 216.52 Prob > F = 0.0000 R-squared = 0.6396 Adj R-squared = 0.6367 Root MSE = 52.546		
Model	2391374.82	4	597843.706			
Residual	1347429.74	488	2761.12652			
Total	3738804.56	492	7599.19627			

mvps	Coef.	Std. Err.	t	P> t	[95% Conf. Interval]	
eps	16.29299	.6227059	26.16	0.000	15.06948	17.51651
bvps	.2218633	.1152691	1.92	0.055	-.0046216	.4483483
comsize	-2.178716	2.782631	-0.78	0.434	-7.646133	3.288701
comgrth	.0004635	.0251986	0.02	0.985	-.0490477	.0499747
comgrth	0 (omitted)					
_cons	9.624123	12.34591	0.78	0.436	-14.63359	33.88183

. regress mvps eps bvps comsize comgrth comgrth if auditype==3  
note: comgrth omitted because of collinearity

Source	SS	df	MS	Number of obs = 296		
Model	14033.213	4	3508.30326	F( 4, 291)	=	17.64
Residual	57867.4865	291	198.857342	Prob > F	=	0.0000
				R-squared	=	0.1952
				Adj R-squared	=	0.1841
Total	71900.6995	295	243.731185	Root MSE	=	14.102

mvps	Coef.	Std. Err.	t	P> t	[95% Conf. Interval]	
eps	.8593913	.2934608	2.93	0.004	.2818165	1.436966
bvps	.8945656	.1420964	6.30	0.000	.6148987	1.174233
comsize	3.050764	1.35989	2.24	0.026	.3742963	5.727232
comgrth	.0545202	.0240118	2.27	0.024	.0072615	.1017789
comgrth	0	(omitted)				
_cons	-8.881752	5.141609	-1.73	0.085	-19.00121	1.237703

. suest big4\_non\_big4 big4\_non\_big4

Simultaneous results for big4\_non\_big4, big4, non\_big4

Number of obs = 819

	Coef.	Robust Std. Err.	z	P> z	[95% Conf. Interval]	
big4_non_big4_mean						
eps	-.6246955	.4481884	-1.39	0.163	-1.503129	.2537377
bvps	1.073473	.3097893	3.47	0.001	.4662967	1.680648
comsize	-4.301125	1.188166	-3.62	0.000	-6.629888	-1.972362
comgrth	-.3404236	1.324179	-0.26	0.797	-2.935767	2.254919
comgrth	0	(omitted)				
_cons	26.40131	7.065862	3.74	0.000	12.55247	40.25014
big4_non_big4_lnvar						
_cons	3.931716	.2469673	15.92	0.000	3.447669	4.415763
big4_mean						
eps	16.29299	3.057828	5.33	0.000	10.29976	22.28623
bvps	.2218633	.1476923	1.50	0.133	-.0676083	.511335
comsize	-2.178716	3.024636	-0.72	0.471	-8.106894	3.749462
comgrth	.0004635	.0093709	0.05	0.961	-.0179032	.0188302
comgrth	0	(omitted)				
_cons	9.624123	10.74014	0.90	0.370	-11.42616	30.67441
big4_lnvar						
_cons	7.923394	.32616	24.29	0.000	7.284132	8.562656
non_big4_mean						
eps	.8593913	.6677675	1.29	0.198	-.449409	2.168192
bvps	.8945656	.4021385	2.22	0.026	.1063886	1.682743
comsize	3.050764	1.869209	1.63	0.103	-.6128175	6.714345
comgrth	.0545202	.0211733	2.57	0.010	.0130213	.0960191
comgrth	0	(omitted)				
_cons	-8.881752	6.894606	-1.29	0.198	-22.39493	4.631427
non_big4_lnvar						
_cons	5.292588	.4843859	10.93	0.000	4.343209	6.241967

## WALD COEFFICIENT TEST RESULTS

```
. test [big4_non_big4_mean]eps=[big4_mean]eps
( 1)  [big4_non_big4_mean]eps - [big4_mean]eps = 0
      chi2( 1) =    29.97
      Prob > chi2 =    0.0000

. test [big4_non_big4_mean]bvps=[big4_mean]bvps
( 1)  [big4_non_big4_mean]bvps - [big4_mean]bvps = 0
      chi2( 1) =     6.16
      Prob > chi2 =    0.0131

. test [non_big4_mean]eps=[big4_non_big4_mean]eps
( 1)  - [big4_non_big4_mean]eps + [non_big4_mean]eps = 0
      chi2( 1) =     3.41
      Prob > chi2 =    0.0650

. test [non_big4_mean]bvps=[big4_non_big4_mean]bvps
( 1)  - [big4_non_big4_mean]bvps + [non_big4_mean]bvps = 0
      chi2( 1) =     0.12
      Prob > chi2 =    0.7245
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## Banking Sector Reforms and the Performance of the Nigerian Industrial Sector

**Bernhard O. ISHIORO**

Department of Economics, Delta State University, Abraka

### Abstract

The Nigerian economy has been experiencing a lot of reforms in the banking subsector. Despite these reforms that ought to have enhanced the performance of the industrial sector of the economy, the weak performance of the industrial sector has survived unscathed and prolonged. Therefore, the major interest of this paper is to investigate the long and short-run relationships existing between banking sector reforms and the performance of the industrial sector in Nigeria. The study begins with a review of the banking sector reforms and the link to the industrial sector performance. Time series data from 1982-2015 are used to empirically assess the long-run relationship between banking sector reforms-targeted variables and the Nigerian industrial sector. The Modified PANTULA Principle was adopted in the selection of the most suitable variant of the Johansen Cointegration technique and found that model three was only suitable in the determination of the long-run relationship between commercial banks credit to the industrial sector and industrial production, and not manufacturing capacity utilisation. Summary of the variants of the Johansen cointegration equations were provided to facilitate a robust discussion of the long-run relationship between the indicators of banking sector reforms and industrial sector performance. A modified variant of causality test was adopted in the investigation of the direction of causality that exist between the reforms variables and industrial sector performance indicators. Various lag selection techniques were applied and found the Final Prediction Error(FPE) as most suitable. The Vector Auto Regression (VAR) impulse response and variance decomposition were applied to determine the effects of the reforms shocks on the industrial sector performance variables. The results shows amongst other that in the era reforms, the shocks from the banking sector credit to the industrial sector is higher than other reforms indices. This makes credit to the industrial sector a potent force in the enhancement of industrial sector performance in Nigeria. Therefore, banking sector reforms should be designed to enhance the consistent flow of credit to the industrial sector of the economy. Structural breaks were also applied to see the effects of the changes in reforms on the performance of the industrial sector.

**Keywords:** Banking Sector Reforms and the Performance of the Nigerian Industrial Sector

**JEL Classification:** C32,E43,E51,G21

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## Oil, Politics, and Power & the Spiritual Reawakening of Native America

Paul Lee

Mark van de Logt

Texas A&M University at Qatar

### Abstract

Although one must warn against the danger of the stereotype of the “ecological Indian,” it is nevertheless true that many American Indian religions have a close spiritual connection to creation. Native Americans have fought against environmental devastation and desecration at least since the “War to save the buffalo” (1874-75) and the “War to save the sacred Black Hills” (1874-1877), if not earlier. Still, though never entirely gone from the hearts of Native Americans, the issue of environmental justice was often overshadowed by struggles for social, political, and economic justice. Recently, however, the struggle for environmental justice, based on a religious reawakening, once again became a pillar of a newly emerging “pan-Indian movement” following the 2016 North Dakota Access Pipeline controversy. This paper traces the history of Native American struggles for environmental justice, its connections to Native American spirituality, and the role of the recent NDAPL issue in reawakening the spiritual pan-Indian movement in North America.

**Keywords:** Oil, Politics, and Power & the Spiritual Reawakening of Native America

### Introduction

In 2016 thousands of Native and non-Native Americans flocked to the Standing Rock Indian Reservation in North Dakota to protest the construction of the Dakota Access Pipeline (DAPL), which was to be laid only a few hundred yards north of the reservation boundary. The Indians and their sympathizers (including environmental activists, farmers, and others) objected to the pipeline which, they claimed, threatened the water supply on the reservation and the health of millions of people downstream. Though not unique, the protest was nevertheless significant for its scale, the attention it garnered, occasional violent clashes with law enforcement, and, most of all, for the fact that it united Native Americans all over the United States and Canada. Equally significant was the fact that young Native Americans got their first experience in “pan-Indian” political activism. Social media (Facebook, Instagram, Twitter, YouTube, etc.) played a major role in attracting young Native Americans to the cause, and it generated a spiritual reawakening among them as well. They were not only protesting the willful ignoring of a tribal government by the companies behind the pipeline and U.S. federal agencies (most importantly the U.S. Army Corps of Engineers), but they also re-discovered environmentalism as part of their native identity.

Unfortunately, the “#NoDAPL” campaign fell short of its goal of blocking construction of the pipeline. Social media proved to be a fickle instrument that was frequently used against protestors through disinformation (so-called “trolls”) by opponents. Worse, 2016 was also an election year and protestors found that they had to compete with the U.S. presidential election and the so-called “Trump effect,” for attention in the mainstream media. Indeed, the ultimate electoral victory of Donald Trump, as well as the overall swing of the nation to the political right, proved to be devastating to the protests. Faced with new political realities, the Standing Rock Sioux Tribal Council tried to come to terms with the changing political landscape and abandoned the protests, pursuing new tactics in courts and through negotiation.

### Earlier Protests Against Pipelines

The DAPL was not the first pipeline to create controversy. In 2010, members of the Klamath tribes (Klamath, Modoc, Yahooskin) protested the construction of the “Ruby Pipeline,” a natural gas pipeline from Wyoming to Oregon because it would cross cultural areas. “For us, it has nothing to do with money – it has to do with religious integrity and aboriginal prayer sites,” Perry Chocktoot, cultural and heritage director for the Klamath Tribes said. Several Shoshone and Paiute communities also criticized the project, but various Ute communities supported it. Despite involvement of the Council of Energy Resource Tribes (CERT), which supported the project, numerous tribes claimed they had not been adequately consulted in advance: “Their biggest mistake was not coming to us to say, ‘Where in your homelands do you have an area

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where we can put this pipeline?” The construction company, however, went ahead with construction claiming that it had done its “level best” and had gained the support of various tribes to go ahead. It also hired Native employees to work on the pipeline.<sup>1</sup> The issue showed deep divisions between tribes on the Ruby Pipeline.

Meanwhile, First Nations in Canada opposed the “Northern Gateway Pipeline Project” from northern Alberta to the Pacific coast, in 2011. The 1,200-kilometer, \$5.5 billion twin pipeline was to be constructed by Enbridge company, which at the time was spending \$550 million to clean up spill in Michigan of about 20,000 barrels of oil in 2010. “We won’t trade the safety of our rivers, lands and fish that are our lifeblood,” said Chief Jackie Thomas of Saik’uz. Chief Larry Nooski of the Nadleh Whut’en added that “This project is not going to happen and we’ll use all the means we have under our laws to fight it.”<sup>2</sup>

Another controversial pipeline, the Keystone XL Oil pipeline project, which was managed by a company called TransCanada, involved the re-routing and extension of an already existing pipeline. The new route led from southeastern Alberta, through Saskatchewan, Montana, South Dakota, and Nebraska, all the way down to Houston, Texas, and Port Arthur, Louisiana. Although it avoided reservation lands, the proposed pipeline would cross archaeological and cultural sites, as well as the “Oglala Sioux Rural Water Supply System,” thus potentially endangering water delivery to Lakota communities at Pine Ridge and Rosebud reservations. The crude oil to be transported was reportedly of a “particularly corrosive and toxic type.” Despite assurances from TransCanada that special safety-features would be installed, the Lakotas insisted that the pipeline threatened their safety and wellbeing.<sup>3</sup>

Other tribes bordering the pipeline expansions also joined the protest, such as the Meskwakis (a.k.a. Sac and Fox) in Iowa, who teamed up with non-Indian groups such as the Sierra Club, the Iowa Audubon Society, the League of Women Voters of Iowa, and the Iowa Farmers Union in the “Bakken Pipeline Resistance Coalition.” This organization advocated strict enforcement of the Native American Graves Protection and Repatriation Act (NAGPRA) as one of the tactics to slow down development of the pipeline.<sup>4</sup> The Mille Lacs and White Earth Bands of Ojibwes in Minnesota protested the \$2.6 billion Sandpiper Pipeline from the Bakken fields in North Dakota to Superior, Wisconsin.<sup>5</sup> Some Native people feared that the presence of construction camps of an estimated 1,000 workers might lead to a rise in sexual violence and exploitation of local native women by workers as had happened in the Bakken reservoir boomtowns in North Dakota.<sup>6</sup>

By 2014, protests against the pipeline had become more visible. In Washington, D.C., some 400 protestors had been arrested when they chained themselves to the White House fence in protest. On February 25, 2014, the Rosebud Tribal Council passed a unanimous resolution against the Keystone XL project, based on the fact that the tribes had not been adequately consulted under section 106 of the National Historic Preservation Act which guarantees the proper treatment of culturally sensitive and important areas. Meanwhile, an activist group calling itself “Moccasins on the Ground” organized training sessions to teach civil disobedience tactics for protestors. Spokesperson Debra White Plume for Moccasins on the Ground said: “As the process of public comment, hearings, and other aspects of an international application continue, each door is closing to protecting sacred water and our Human Right to water. . . . Soon the only door left open will be the door to direct action.”<sup>7</sup>

The protests resulted in responses in conservative circles. Conservative rock artist Ted Nugent ridiculed protestors during his concert in Sturgis, South Dakota, for being racists who denied hard-working Americans the opportunity to improve themselves economically: “4 stinkyass unclean dipshit protestors that admitted they hate me AND ALL WHITE PEOPLE THAT STOLE THEIR LAND BULLSHIT!! See, it aint me they hate, they hate all Americans that produce & live the American Dream.” With the sacred Bear Butte prayer area was only two miles away, Indian activists gathered nearby and called Nugent a racist. Nugent responded by stating that “I take it as a badge of honor that such unclean vermin are upset by me

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<sup>1</sup> “First Nations Vociferously Oppose Enbridge Rockies Pipeline,” *Indian Country Today*, 18 February 2011.

<sup>2</sup> “Planned Oil Pipeline Must Cross Pine Ridge’s Water-Delivery System,” *Indian Country Today*, 22 September 2011.

<sup>3</sup> “Meskwaki Nation Opposes New Pipeline Threat that Could Riva Keystone XL,” *Indian Country Today*, 17 March 2015.

<sup>4</sup> “Mille Lacs and White Earth Bands Fighting Pipelines That Threaten Wild Rice,” *Indian Country Today*, 4 June 2015. See also “Treaty Rights Battle Links Hunting and Oil Pipelines in Minnesota,” *Indian Country Today*, 22 July 2016.

<sup>5</sup> “Will Keystone XL Pipeline Pump Sexual Violence into South Dakota?” *Indian Country Today*, 27 January 2014.

<sup>6</sup> “Can a Tipi Stop a Pipeline? South Dakota Tribes Stand Firm Against Keystone XL,” *Indian Country Today*, 4 March 2014.

<sup>7</sup> “Smells Like Ted Nugent: Rocker Criticizes ‘Stinkyass’ Native Protesters,” *Indian Country Today*, 10 August 2014.

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and my positive energy. . . . By all indicators, I don't think they actually qualify as people, but there has always been a lunatic fringe of hateful, rotten, dishonest people that hate happy, successful people."<sup>1</sup>

The Keystone XL demonstrations inspired similar protests elsewhere. The Coast Salish peoples of Oregon and Washington, for example, protested the \$5.4 billion expansion of the Trans Mountain tar sands oil pipeline and oil tankers crossing the Salish Sea in Washington and Canada. Swinomish Tribal Community chairman Brian Cladoosby explained that a catastrophic oil spill would cause "irreparable damage to salmon and shellfish habitat, and destroy our way of life along with it. . . . We can no longer allow the Salish Sea to be used as a dumping ground." Chemainus First Nation member Ray Harris added that "It's a danger to the environment, a violation of aboriginal fishing rights, and a threat to all people who call this unique place home."<sup>2</sup>

Although activists used social media to great effect to gather support for the anti-pipeline protest movements, it could be used against them as well. Not only did critics disseminate their "memes" and information of their own, but they began to bully Native protestors by reporting them to Facebook for supposedly using "fake names" and creating "fake accounts." Facebook subsequently shut down pages of reported users with Indian names, effectively cutting them off from their connections. Other cyberbullies, including some white supremacist groups, began to report activist users for supposedly using "hate speech" in their posts and such accounts were frozen as well. Only with great difficulty were Indian users able to have their personal accounts reinstated. A few Indian activists launched a counter-campaign dubbed "All Natives Become Zuckerbergs! Protest FB Name Policy" (a.k.a. "IndigenizeZuckerberg") so their accounts would no longer be subjected to Facebook's discriminatory name policy.<sup>3</sup>

When President Barack Obama halted construction of the Keystone XL pipeline on November 6, 2015, Indians in the United States and Canada hailed it as a major victory. It not only marked the end of the pipeline, many thought, but it would also result in shutting down the tar sand oil fields that threatened Cree and Dene Indians in Canada. "With the rejection of Keystone XL we have not only protected the sacredness of the land and water but have also helped our Cree & Dene relatives at the source take one step closer to shutting down the tar sands," Tom Goldtooth of the "Indigenous Environmental Network" stated: "The black snake, Keystone XL, has been defeated, and best believe we will dance to our victory!" Canadian Prime Minister Justin Trudeau and a slew of conservative voices in the United States, however, lamented the decision by the Obama administration. Emboldened by their success, however, the protestors and environmental activists were now extending their goals to reverse global climate change.<sup>4</sup>

The victory celebrations were premature. First, the South Dakota Public Utilities Commission approved the route of the pipeline through the state. The next day, TransCanada filed a \$15 billion lawsuit against the United States pipeline rejection, arguing that the Obama administration had violated NAFTA agreements as well as federal procedures.<sup>5</sup> Worse, however, a new pipeline was about to be launched: the Dakota Access Pipeline.

### **The Dakota Access Pipeline**

The DAPL was a \$3.4 billion project that would transfer 500,000 barrels of crude oil daily across 1,134 miles from the Bakken Oilfield in North Dakota, through South Dakota, Iowa, and Illinois where it would connect to another pipeline towards the Gulf of Mexico. By March 2016, it had been approved by all four states and reached voluntary easements with 90% of all landowners along the route as well. It only needed approval from the U.S. Army Corps of Engineers which evaluated the project for environmental and safety concerns. It would not cross the Standing Rock reservation, but cross the Missouri River merely a few hundred feet upstream of the reservation. Potential oil spills at that critical junction would mean environmental disaster for the people of Standing Rock reservation.<sup>6</sup>

The Standing Rock Sioux immediately sprang into action. Tribal chairman David Archambault II met with officials of the U.S. Environmental Protection Agency (EPA), the Department of the Interior, and the Advisory Council on Historic

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<sup>1</sup> "Coast Salish Unite Against Tripling Capacity of Kinder Morgan Tar Sands Pipeline," Indian Country Today, 27 October 2014. See also "Coast Salish Nations Ramp Up Efforts to Defeat Trans Mountain Pipeline Expansion in BC," Indian Country Today, 23 June 2016.

<sup>2</sup> "Bullies can Silence Native Americans on Facebook With the Click of a Mouse," Indian Country Today, 28 April 2015.

<sup>3</sup> "Keystone XL Rejection: Indigenous Resistance Exults, Trudeau 'Disappointed,'" Indian Country Today, 6 November 2015.

<sup>4</sup> "Keystone XL: TransCanada Files \$15 Billion Lawsuit Over Pipeline Rejection," Indian Country Today, 7 January 2016.

<sup>5</sup> "Dakota Access Pipeline Threat: What You Need to Know," Indian Country Today, 19 March 2016.

<sup>6</sup> "Dakota Access Pipeline Threat: What You Need to Know," Indian Country Today, 19 March 2016.

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Preservation. Archambault demanded that the Corps of Engineers take his tribe's interests into consideration. "You can live without oil, you can live without money, but you can't live without water," Archambault told TV reporters in Bismarck.<sup>1</sup>

Not awaiting the judgment of the Corps of Engineers, concerned Lakotas and their allies began to stage protests against the DAPL also known as the Bakken Pipeline. It quickly became a rallying cry for Lakotas from other states as well. "We will stand by our Hunkpapa relatives in defending against any major environmental, public health and safety hazards within our treaty territory," said Paula Antonie, a Rosebud Sioux tribal citizen. Similar voices of solidarity came from the other reservations as well.<sup>2</sup>

Unlike the Keystone XL project, this one could not be stopped by Executive Order, because it did not cross international borders, and it was a private rather than a federal project. Furthermore, most of the landowners along the route had approved the line. This meant that the Standing Rock Indians could not expect much support from non-Indian stakeholders. Still, a group of tribal citizens and non-Indian activists banded together in an organization called "Chante tin'sa kinanza Po" ("People, Stand with a Strong Heart!"). They organized a horse ride to set up a "Spirit Camp" near the proposed route of the pipeline near the community of Cannon Ball, North Dakota. They called the camp "Inyan Wakhanagapi Othi" ("Sacred Rock") and it would become the heart of the resistance movement.<sup>3</sup> Protestors also launched a "RezpectOurWater" campaign on Instagram, an online petition to stop the DAPL, and posted video messages on the "Change.org YouTube channel."<sup>4</sup>

The camp and online campaigns drew attention from various corners of society, not in the least of Hollywood. *Justice League* actors Jason Momoa (a.k.a. "Khal Drogo" of the popular "Game of Thrones" TV series), Ezra Miller, and Ray Fisher, were among the first to express their support. The protestors welcomed the attention. "Organizers, officials and youth from the Standing Rock Sioux Tribe hope to encourage many more public figures and influential people to join their fight against the pipeline through statements of support and signing the petition," the *Indian Country Today* reported.<sup>5</sup> Other artists followed, mostly through Twitter and other social media outlets. Among them was Leonardo DiCaprio, 2016-Academy Award winner for his performance in *The Revenant*. Through his work in the film, DiCaprio had made many Native American friends and become sympathetic to native causes.<sup>6</sup>

Despite the protests, construction of the pipeline began in May 2016 after the U.S. Army Corps of Engineers approved nearly all permits, including the crossing just above the Standing Rock Reservation. The protest had failed to convince the Corps. "The Corps has a long history of going against the wishes and health of tribal nations," the Indigenous Environmental Network (IEN) said in a statement. However, the IEN vowed to continue the protest.<sup>7</sup>

The protests took on a new sense of urgency. As protestors gathered at the construction site in August 2016, the police showed up, ostensibly to protect working crews, and they arrested over a dozen protestors, including tribal chairman David Archambault II and Standing Rock Sioux Tribal Councilman Dana Yellow Fat. Meanwhile, the Standing Rock Sioux sued the Army Corps of Engineers for not having consulted the tribe and for issuing licenses without tribal consent. "[W]e will not continue to be completely ignored and let the Army Corps of Engineers ride roughshod over our rights," chairman Archambault said. He also invoked the 2007 United Nations Declaration on the Rights of Indigenous Peoples which requires "free, prior and informed consent for development impacting Indian land, territories and waters," but the United States never formally endorsed the declaration and considers it a non-binding document. Archambault asked protestors to remain peaceful and respectful: "By being peaceful and avoiding violence we are getting the attention needed to stop the pipeline. We're getting the message out that all the wrongdoing that's been done to Indian people will no longer be tolerated. But we're going about it in a peaceful and respectful manner. If we turn to violence, all that will be for nothing. I'm hoping and praying that through prayer and peace, for once the government will listen to us."<sup>8</sup>

The construction site was on private land, but the protestors argued that it endangered a nearby eagle-nesting ground and a Mandan Indian archaeological grave (and, thus, sacred) site. The protestors claimed that the Army Corps of Engineers

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<sup>1</sup> "Great Sioux Nation Defends Its Waters From Dakota Access Pipeline," *Indian Country Today*, 6 April 2016.

<sup>2</sup> "Great Sioux Nation Defends Its Waters From Dakota Access Pipeline," *Indian Country Today*, 6 April 2016.

<sup>3</sup> See <http://rezpectourwater.com/>. On 12 September 2017, the petition had been signed by 561,668 online visitors.

<sup>4</sup> "Justice League Stars Protest Dakota Access Pipeline, Support Standing Rock Sioux," *Indian Country Today*, 9 May 2016.

<sup>5</sup> "Dakota Access Pipeline Construction Begins Despite Standing Rock Sioux Objections," *Indian Country Today*, 23 May 2016.

<sup>6</sup> "Breaking: Dakota Access Pipeline Approved," *Indian Country Today*, 27 July 2016.

<sup>7</sup> "Dakota Access Pipeline Standoff: Mni Wiconi, Water is Life," *Indian Country Today*, 16 August 2016.

<sup>8</sup> "Support Grows Despite Arrests at Dakota Access Pipeline Protest," *Indian Country Today*, 16 August 2016.

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and the construction company were violating the Federal Historical Preservation Act. Meanwhile, Morton County, ND, Sheriff Kyle Kirchmeier stated that 34 police officers were there to keep everyone safe on the narrow highway leading to the construction site. On the first day, they arrested ten people for disorderly conduct and two for criminal trespass. The next day, they arrested seven more. Among the arrested protestors was pediatrician Dr. Sara Jumping Eagle, a Fort Yates resident, for intentionally blocking the access entrance. She stated:

. . . I have seen the gradual encroachment of oil and fracking operations in our region . . . I am concerned about what contaminants are in the water that my children are drinking. City and state officials tend to regurgitate the rhetoric that is put out [by] mining companies, that the pipelines are safe. We know that in other areas of the country where spills and leaks have occurred, the long-term health effects are in question. Some of the chemicals used in this mining process are known to affect the neuroendocrine system and affect our ability to reproduce. We have a huge amount of resources that are being wasted, like the wind and the sun. We have to look towards the future. I have a voice and I will use it. If people are afraid to do what they feel is right, then nothing will happen.<sup>1</sup>

Despite the arrests, support was building. More protestors, native and non-native alike arrived. Oglala Sioux tribal President John Yellow Bird Steele announced that his tribe would make buses available for tribal members to support the protest and permitted administrative leave to tribal employees wishing to join the protest. Crow Creek Sioux Tribe chairman I. Brandon Sazue, Sr., also issued a formal statement of support for the protestors. The entire Sioux nation was coming together on this issue. "I never imagined that we would have this kind of support to protect our land and water," said Standing Rock tribal member LaDonna Allard, who lived nearby: "We grew up here along this water. We will continue to pray and protect it."<sup>2</sup>

To keep the water rights issue in the public eye, protestors staged dramatic events such as a horse caravan by "Chief Big Foot Riders," a group of Mniconjou Lakotas, who rode to the Sacred Stone Spirit Camp in a dramatic reenactment of Chief Big Foot's march that ended in the tragic massacre at Wounded Knee in 1890. The Standing Rock protestors and the International Indian Treaty Council (ITIC) appealed to several United Nations Human Rights Special Rapporteurs calling for emergency intervention. The tribe also called for an injunction against the pipeline in federal court in Washington, D.C.<sup>3</sup>

But there were also problems as protestors flooded to the site, ND Governor Jack Dalrymple declared a state of emergency to provide for public safety resources. To avoid escalation, however, Dalrymple did not activate the National Guard. Some ND residents complained that they were "footing the bill for law enforcement manpower to protect a wealthy billionaire who owns Energy Transfer Partners, the owner of Dakota Access Pipeline LLC."<sup>4</sup>

Some support came streaming in from the mainstream media. On August 25, 2016, MSNBC's Lawrence O'Donnell placed the Dakota Access controversy in the context of the country's troubled relations with its indigenous population: "This country was founded on genocide before the word genocide was invented . . ." Citing a list of broken treaties and other abuses, O'Donnell then called for justice for the protestors whom he called "The people who have always known what is truly sacred in this world."<sup>5</sup>

Celebrities also flocked to the cause. Actress Shailene Woodley of the *Divergent* movie series was arrested during one of the protests. Susan Sarandon campaigned in Washington, D.C. where a federal court was debating the injunction against the pipeline; other celebrities such as actors Rosario Dawson, Riley Keough, and musician Pharrell Williams voiced their support through social media. Singer-songwriter Jackson Browne donated the proceeds of one of his albums to the protestors. Mark Tilsen, CEO of Tanka Bar (a Native owned company producing natural health foods) delivered 5,700 "Tanka Bars" to feed the protestors. Then there were politicians, such as Bernie Sanders and his wife Jane O'Meara Sanders who spoke out in support. On September 13, Sanders addressed 500 protestors outside the White House: "If there is one profound lesson that the Native American people have taught us, it is that all of us as human beings are part of

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<sup>1</sup> Ibid.

<sup>2</sup> "Dakota Access Pipeline: Standing Rock Sioux Issue Urgent Appeal to United Nations Human Rights Officials," Indian Country Today, 20 August 2016.

<sup>3</sup> Ibid.

<sup>4</sup> "This Nation was Founded on Genocide": MSNBC's Lawrence 'Donnell on Dakota Access," Indian Country Today, 26 August 2016.

<sup>5</sup> "Dakota Access: Stars from Hollywood to Washington Support Water Protectors," Indian Country Today, 27 August 2016. "Singer Songwriter Jackson Browne Makes Statement Regarding the Dakota Access Pipeline," Indian Country Today, 7 September 2016. "Bernie Sanders Joins Anti-DAPL Protest in DC as More than Two Dozen Arrested Near Mandan, ND," Indian Country Today, 15 September 2016.

nature. Our species will not survive if we continue to destroy nature, so today we stand united in saying, 'stop the pipeline, respect Native American rights, and let us move forward to transform our energy system away from fossil fuels.'"<sup>1</sup>

Support also poured in from other Native communities, such as the Yakamas, Swinomish, Lummi, Puyallup, Nisqually, Squamish, Klallam and Hoh tribes from Washington State. They joined some 150 tribes who had adopted resolutions and sent letters of support to the Standing Rock Sioux in their struggle to end the pipeline. Swinomish chairman and NCAI President Brian Cladoosby explained what was at stake:

We are a place-based society. We live where our ancestors are buried. Our culture, laws, and values are tied to all that surrounds us, the place where our children's future will be for years to come. We cannot ruin where our ancestors are buried and where our children will call home, uproot ourselves and move to another place. We cannot keep taking for granted the clean water, the salmon and buffalo, the roots and berries, and all that makes up the places that our First People have inhabited since time immemorial. Our futures are bound together.<sup>2</sup>

Young Native Americans from circa 250 different native communities from all over the United States traveled to Standing Rock and set up camp to join the protests. They proudly flew their tribal flags. Pictures of rows of tribal flags appeared on social media with the caption "United [Tribal] Nations." New camps were placed on both sides of the Cannonball River.<sup>3</sup> Ultimately, three camps sprang up: Sacred Stone, Oceti Sakowin ("Seven fires"), and Red Warrior. The protest reawakened a new pan-Indian identity among Native people around the country: "We were not protestors," Tlingit tribal member Frank Hopper wrote in *Indian Country Today*, "We were not a special interest group. We were Native people. We were a culture responding to an injustice that's been going on for over 500 years. . . . The differences we normally felt were gone, too, and the heavy burden of our day-to-day identities melted. We were one, a tribe." Following this experience, Hopper enrolled in Tlingit language classes because the protests made him understand that "the conflict at Standing Rock was about reclaiming our cultures and decolonizing our hearts and not just about oil, I realized learning my Native language was an act of defiance just as strong as being in North Dakota."<sup>4</sup>

Meanwhile, the protest spread globally. "Stand With Standing Rock" became a hashtag rallying cry around the world. After police forces staged a violent attack on October 27, 2016, sympathizers with the Standing Rock protestors turned out in various cities and capitals around the world, though mostly in small numbers: Anchorage, Salt Lake City, San Francisco, Seattle, Belgium, Ireland, Scotland, England, Holland, Spain, Croatia, New Zealand, China, Mongolia, and even Vietnam.<sup>5</sup> Sympathizers from around the world also "checked into" Standing Rock Indian Reservation via Facebook, to show their solidarity, reportedly confounding the authorities who tried to keep a record of all protestors at the site. The protestors welcomed the attention generated on Facebook. "We have been ignored for the most part by mainstream media, yet we have hundreds of thousands of supporters from across the world. We appreciate a diversity of tactics and encourage people to come up with creative ways to act in solidarity, both online and as real physical allies," organizers of Sacred Stone Camp said on Facebook.<sup>6</sup>

The protest experienced both successes and setbacks. Enbridge Inc.'s decision to give up the Sandpiper Pipeline in Minnesota in September 2016, was a morale booster, as was a court decision to temporarily halt construction of the DAPL on federal land (but not on private land). However, the 2016 Clinton-Trump presidential election campaigns threatened to relegate the protest to the back-pages. Furthermore, though they had plenty of boots on the ground, the protestors lacked money: "Here's the thing," and editorial in the *Indian Country Today* said, "lawsuits cost money. Lawyers are expensive. So are honey buckets in camp. So is tribal cops. So is cleanup. . . it's very important that we recognize the HUGE BILL that Standing Rock is racking up and help to defray the costs."<sup>7</sup>

The lawsuits included trials faced by people arrested at the protests. In September 2016, tensions between protestors and police escalated. Police in riot gear and equipped with pellet guns and semi-automatic rifles and used pepper spray against

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<sup>1</sup> "Indian Nations from Washington State Join Opposition to DAPL Pipeline," *Indian Country Today*, 31 August 2016.

<sup>2</sup> "Sierra Club: No DAPL!" *Indian Country Today*, 26 September 2016.

<sup>3</sup> "The Ripple Effect: How Standing Rock Violence Inspired Demonstrations Around the World," *Indian Country Today*, 7 November 2016.

<sup>4</sup> "The Ripple Effect: How Standing Rock Violence Inspired Demonstrations Around the World," *Indian Country Today*, 7 November 2016.

<sup>5</sup> "DAPL: Facebook Check-Ins Show Support But Do Not Confound Authorities," *Indian Country Today*, 2 November 2016.

<sup>6</sup> "Manoomin Win: Enbridge Inc. Officially Shelves Sandpiper Pipeline; Ojibwe Wild Rice Waters Safe," *Indian Country Today*, 4

September 2016. "Dakota Access Pipeline Resistance: Stay in the Game. We're Winning," *Indian Country Today*, 7 September 2016.

<sup>7</sup> "Bernie Sanders Joins Anti-DAPL Protest in DC as More than Two Dozen Arrested Near Mandan, ND," *Indian Country Today*, 15 September 2016.

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the protestors. On September 13, the police arrested protestors who had chained themselves to the tractors and other heavy equipment.<sup>1</sup> A low point occurred when the company sent in hired security forces with attack dogs against the protestors.

Further complicating the protests was the fact that Dakota Access LLC bought the Cannonball Ranch, a piece of private land, on which the protestors made their stand. Furthermore, on September 9, a District Court in Washington, D.C. denied Standing Rock's motion for a preliminary injunction. The tribe appealed the decision, but meanwhile construction would proceed.<sup>2</sup>

On October 10, 2016, actress Shailene Woodley was arrested together with 27 other protestors for criminal trespassing. Before her arrest, Woodley made a statement to interviewers: "We've got to recognize that regardless of our background, regardless of our ancestry, we're all indigenous to this Earth—whether we're human, whether we're animals, whether we're fish in the sea, and it's our responsibility to honor our mother . . ."<sup>3</sup> Clearly, she had fully embraced the sacred earth ideology of the native protestors. Celebrity support from actor Marc Ruffalo and others poured in and after paying an \$500 fine, she was released from Morton County Jail, ND, and a court date was set for October 24.<sup>4</sup>

The situation began to grow more tense. On October 22, the authorities arrested 126 people on the charge of rioting and other offenses, though camp leader Mekasi Camp-Horinek claimed that the protestors were peaceful: "We need bodies and we need people who are trained in nonviolent direct action. We are still staying nonviolent, and we are still staying peaceful." The arrested protestors were sent to jails in other counties. It appeared Governor Dalrymple and the state of North Dakota had changed their tactics by "militarizing" its police presence and seeking confrontation. Instead of de-escalating the situation, the police reportedly encouraged farmers to carry weapons in self-defense and to protect their property, after protestors supposedly stole cattle.<sup>5</sup> Meanwhile, Energy Transfer Partners announced that "all trespassers will be prosecuted to the fullest extent of the law and removed from the land."<sup>6</sup>

At this juncture, celebrity support was most welcome. Former VP and unsuccessful Presidential candidate Al Gore referred to the sacred teachings of the Lakotas when came out in support of the Standing Rock Sioux: "This is also an opportunity to acknowledge and learn from the traditional values being expressed by the Standing Rock Sioux to protect life on Earth," Gore said.<sup>7</sup> Actor Marc Ruffalo (co-founder of a non-profit organization promoting clean and renewable energy) and Hollywood superstar Leo DiCaprio headed to Standing Rock, as did African American political leader, Rev. Jesse Jackson.<sup>8</sup>

Other political leaders also spoke out. Bernie Sanders called on President Obama to take a bold stand as he had done on the Keystone XL pipeline: "it is deeply distressing to me that the federal government is putting the profits of the oil industry ahead of the treaty and sovereign rights of Native American communities," Sanders said, "I understand the Standing Rock Sioux have sued to stop the pipeline, citing the very serious environmental concerns, encroachment on culturally sensitive lands, and violations of tribal treaty rights to a meaningful consultative role in the federal permitting process."<sup>9</sup>

Green Party Presidential hopeful Jill Stein arrived a day after the police used armored vehicles, tear gas, and bean bag projectiles to drive protestors from one of the camps. She condemned the violence used against the protestors, the persecution of journalists, the disruption of prayer ceremonies, and the desecration of sacred burial sites. "We must also honor the historic role that indigenous people have always played—and must continue to play—in protecting Mother Earth and the ecosystems our lives depend on. As our survival hangs in the balance from drought, pollution, climate change, and mass extinctions, it is more critical than ever to respect the rights and sovereignty of our indigenous brothers and sisters—who are protectors for us all."<sup>10</sup>

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<sup>1</sup> "Sierra Club: No DAPL!" Indian Country Today, 26 September 2016.

<sup>2</sup> "We Must Honor Our Mother": Actress Shailene Woodley Arrested at DAPL," Indian Country Today, 10 October 2016.

<sup>3</sup> "Shailene Woodley released as Celebs Rally Around Her and publicize NoDAPL," Indian Country Today, 13 October 2016.

<sup>4</sup> "DAPL Crackdown Continues With Rubber Bullets and Mace as Water Protectors Form New Front Line," Indian Country Today, 24 October 2016.

<sup>5</sup> "Dakota Pipeline Schedule Is One More Story of Injustice," Indian Country Today, 28 October 2016.

<sup>6</sup> "DAPL: Former Vice President Al Gore Supports the Standing Rock Sioux Tribe," Indian Country Today, 26 October 2016.

<sup>7</sup> "Marc Ruffalo in Standing Rock; Leo DiCaprio, Jesse Jackson Head to Standing Rock," Indian Country Today, 26 October 2016.

<sup>8</sup> "Sanders in Open Letter to President Obama: Take a Bold Stand Against DAPL," Indian Country Today, 28 October 2016.

<sup>9</sup> "Stein Campaign Condemns 'Violent Repression of Peaceful Protests against DAPL,'" Indian Country Today, 28 October 2016.

<sup>10</sup> "Society of Indian Psychologists' Response to Pipeline Protest," Indian Country Today, 30 October 2016.

The Society of Indian Psychologists sided with the protestors and cited the damaging effects on the psychological health of the people of the pipeline: "The continued lack of clean-up of land and waters, to this day, constitutes a greater disaster than Chernobyl. Compounding that is the continued underfunding of Indian Health Services and lack of health or mental health treatment to address the negative health impacts of the trauma caused by destruction of the people, land and water. . . . Psychological and spiritual well-being are inextricably linked to traditional lands sacred to Native people. . . . For American Indian and Alaska Native people, threat to the natural environment are a continuation of historical trauma contributing to current health disparities. . . . The specter of genocide is continued in the pipeline yet to be built."<sup>1</sup>

Rock artist Neil Young visited Standing Rock and publicized the cause in a track titled "Indian Givers" on an upcoming album titled "Peace Trail." His Facebook page showed him walking through the protest camps with his guitar and it received 818,000 views, 84,000 likes, and 12,000 shares by November 16. The song "Indian Givers" highlighted the line: "I wish somebody would share the news," and the official video showed images of the Plains habitat going up in smoke from power plants, oil derricks, and heavy industrial machinery.<sup>2</sup>

There's a battle raging on the sacred land  
Our brothers and sisters had to take a stand  
Against us now for what we all been doin'  
On the sacred land there's a battle brewin'

I wish somebody would share the news  
I wish somebody would share the news  
I wish somebody would share the news

Now it's been about 500 years  
We keep taking what we gave away  
Just like what we call Indian givers  
It makes you sick and gives you shivers

I wish somebody would share the news  
I wish somebody would share the news  
I wish somebody would share the news  
I wish somebody would share the news

Big money going backwards and ripping the soil  
Where graves are scattered and blood was boiled  
When all who look can see the truth  
But they just move on and keep their groove

I wish somebody would share the news  
I wish somebody would share the news  
I wish somebody would share the news

Saw Happy locked to the big machine  
They had to cut him loose and you know what that means  
That's when Happy went to jail  
Behind big money justice always fails

I wish somebody would share the news  
I wish somebody would share the news  
I wish somebody would share the news  
I wish somebody would share the news

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<sup>1</sup> "Neil Young Rocks Standing Rock n 71<sup>st</sup> Birthday," Indian Country Today, 16 November 2016.

<sup>2</sup> See also <https://www.youtube.com/watch?v=M4pF5toyRYA>, accessed 14 November 2017.

Bring back the days when good was good  
Lose these imposters in our neighborhood  
Across our farms and through our waters  
All at the cost of our sons and squaw daughters  
Yeah our brave sons and daughters  
We're all here together fighting poison waters  
Standing against the evil way  
That's what we have at the end of day

I wish somebody would share the news  
I wish somebody would share the news  
I wish somebody would share the news  
I wish somebody would share the news<sup>1</sup>

The protestors designated November 15 as the “#NoDAPL National Day of Action,” to generate more media interest. That day, also, Robert F. Kennedy, Jr., visited Standing Rock in support of the protest. Kennedy, president and attorney of a non-profit organization called “Waterkeeper Alliance,” called the DAPL an “environmental crime.” At a press conference, Kennedy said: “There are many other technologies out there right now; solar and wind are the most versatile and the cheapest . . . The market already knows that carbon is dead. The only thing keeping it alive is infrastructure.”<sup>2</sup>

Meanwhile, temperatures in North Dakota began to drop, especially during the night. Taking advantage of the cold, the police used water cannons against the protestors.<sup>3</sup> At least four people received head wounds from rubber bullets. Amnesty International derided Sheriff Kirchmeier of Morton County’s Sheriff Department for employing these tactics in freezing temperatures. The Sheriff’s department responded that the water cannons were used to “put out fires” set by the protestors. However, video footage posted on social media showed that the fire “trucks” were in fact armored vehicles. The police also used rubber bullets and tear gas against the protestors, and Amnesty International claimed that these weapons were not used “proportionate to the threat posed” by demonstrators. Facebook video footage showed “excessive force” used by law enforcement. Tribal chairman David Archambault called the actions “dehumanizing” and a violation of human rights.<sup>4</sup>

To their dismay, the protestors learned that the mainstream media was more interested in the Donald Trump news-cycle, celebrity affairs, and the 2016 American Music Awards. Some media outlets called the battles “skirmishes” or laid blame on “aggressive protestors.” In this atmosphere, social media became even more important for the dissemination of the news: “This fight right now demonstrates the absolute vitalness for independent media and community journalism,” organizer Dallas Goldtooth said. Still, despite the preponderance of social media outlets, the protestors were losing the media battle.<sup>5</sup>

Desperate for coverage by the major media outlets, NoDAPL supporters picketed the CNN headquarters in Atlanta, but with little effect.<sup>6</sup> Worse, the election of Donald Trump spelled doom for the protestors. *The Guardian* reported that Trump had invested between \$500,000 and \$1,000,000 in Energy Transfers Partners, and a similar amount in Phillips 66, which had a 25 percent stake in the Dakota Access Pipeline.<sup>7</sup> Shortly after Trump’s election, DAPL executives announced that they would wait for Trump’s inauguration to call on the new administration to overturn the decision by the Army Corps to freeze certain licenses.<sup>8</sup>

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<sup>1</sup> “Robert F. Kennedy Jr Visits Standing Rock on #NoDAPL Day of Action,” See also Indian Country Today, 16 November 2016.

<sup>2</sup> The violent confrontation between 400 protestors and the police began when protestors tried to remove barriers put up by law enforcement.

<sup>3</sup> “Amnesty International USA Derides ND for Subfreezing Water Onslaught,” Indian Country Today, 21 November 2016.

<sup>4</sup> “Mainstream Media MIA as DAPL Action Is Met With Water Cannons and Mace,” Indian Country Today, 21 November 2016.

<sup>5</sup> “Supporters for NoDAPL Turn Out in Force at CNN Headquarters,” Indian Country Today, 23 November 2016.

<sup>6</sup> “Dakota Pipeline Schedule Is One More Story of Injustice,” Indian Country Today, 28 October 2016.

<sup>7</sup> “City of Seattle Dumps Wells Fargo Over DAPL,” Indian Country Today, 13 December 2016.

<sup>8</sup> “Thanksgiving, Oceti Sakowin Style, Shailene Woodley, Jane Fonda and 500 Water Protectors,” Indian Country Today, 24 November 2016.

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The arrival of actress and veteran activist Jane Fonda, who donated seven bison for a Thanksgiving feast for the protestors, went largely unnoticed by the news media. An ironic detail was that Fonda had previously been married to CNN owner Ted Turner, but the couple had divorced in 2001.<sup>1</sup>

Social media also proved an information mine field. Sac and Fox journalist Harlan McKosato addressed the problem with social media as a source of information. "I don't personally believe numerous things I see on FB," he wrote, "The journalist in me ensures that I take them with a grain of salt. There are a lot of folks out there who are trying to manipulate the facts, and trying to turn public opinion towards their particular cause or concern." McKosate questioned a specific news item: "I'm still not sure if the riot squads in Standing Rock were throwing concussion grenades. Other accounts of the story say the young white woman from New York was helping to make a propane bomb when it exploded and injured her arm. But to see the posts on FB you would think she got her arm blown off completely by a grenade."<sup>2</sup>

A high point in the protests occurred in December 2016, when several thousand Native American U.S. military veterans traveled to Standing Rock to join the protestors. They answered the call of two native veterans, Wes Clark, Jr., and Michael Wood, Jr., to appear, dressed in uniform, and forms a "defensive line" around the protestors. Their presence had tremendous symbolic value, and the organizers hoped to gain more mainstream media attention. "No group in the country has served a greater percentage in US military than Native Americans," Wood explained, "We need to support them." "I'm here, serving my people," Laguna Pueblo Navy veteran Brandee Paisano told *Indian Country Today*, "And it's not just my Native people, it's everybody who lives in this country and you can't ever let that oath die."<sup>3</sup> Unfortunately, by this time America was tuned in elsewhere.

### End of the Trail?

Pressure on the protestors was mounting. The Army Corps of Engineers announced it planned to close the federal property where the Oceti Sakowin camp was located, and North Dakota Governor Dalrymple threatened to cut off supplies to the camp.<sup>4</sup> Perhaps worse, winter was coming, bringing with it the possibility that the ice of Missouri and Cannonball Rivers might cause a jam in the rivers, thus potentially flooding the site of the Oceti Sakowin camp where an estimated 1000 protestors braved the cold temperatures. These conditions and the (human) waste and debris left behind by the protestors began to concern Chairman Archambault and members of the Standing Rock Tribal Council. "We made noise around the world for Indian Country, and it was beautiful" Archambault said, "But we are the ones who have to live here." Archambault was also concerned with the road blocks that had cut off public access to the tribally operated Prairie Knights Casino and Resort, the tribe's largest employer, causing a loss in tribal revenues. Even the *Indian Country Today* asked the question whether the protests could survive both a new winter and the demoralizing outcome of the 2016 elections. Indeed, Republican Doug Burgum, who had supported the Pipeline in December and wanted to see the protest camps closed down, had just been elected governor of North Dakota. Faced with this new political reality, tribal leaders had no other option but to reach out to him.<sup>5</sup>

With the camps under pressure, protestors adopted a new tactic: targeting banks and investors in the DAPL. They called on supporters worldwide to close private accounts with banks that had ties with the DAPL.<sup>6</sup> The City of Seattle introduced legislation severing the city's relationship with Wells Fargo (a major financier of the DAPL) in December 2016. Minneapolis and the State of California were considering similar actions against Wells Fargo and other banks. In February 2017, Seattle indeed divested itself from Wells Fargo for the sum of \$3 billion.<sup>7</sup> The campaign had some modest success: in May 2017, U.S. Bank announced that it would withdraw from funding oil and gas pipelines and invest in renewable energy instead. Most other banks targeted by protestors, however, did not divest themselves from the pipeline projects.<sup>8</sup>

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<sup>1</sup> "If I saw It on Facebook, It Must Be True," *Indian Country Today*, 4 December 2016.

<sup>2</sup> "Thousands of Veterans Descend on Standing Rock to Protect and Serve," *Indian Country Today*, 4 December 2016.

<sup>3</sup> "Thousands of Veterans Descend on Standing Rock to Protect and Serve," *Indian Country Today*, 4 December 2016.

<sup>4</sup> "Dakota Access Pipeline Battle in Deep Freeze. But for How Long?" *Indian Country Today*, 10 January 2017.

<sup>5</sup> "How to Contact the 3 Dozen Banks Still Backing Dakota Access Pipeline Companies," *YES! Magazine*, 11 May 2017.

[www.yesmagazine.org/people-power/how-to-contact-the-17-banks-funding-the-dakota-access-pipeline-20160929](http://www.yesmagazine.org/people-power/how-to-contact-the-17-banks-funding-the-dakota-access-pipeline-20160929), accessed 15 September 2017.

<sup>6</sup> "City of Seattle Dumps Wells Fargo Over DAPL," *Indian Country Today*, 13 December 2016. "Buh-Bye Wells Fargo: Seattle Divestment Pulls Funds Over DAPL," *Indian Country Today*, 8 February 2017.

<sup>7</sup> "Goodbye DAPL: US Bank Will Cease to Fund Oil/Gas Pipelines," *Indian Country Today*, 24 May 2017.

<sup>8</sup> "Standing Rock Tribal Council Approves Evacuation order for All Camps," *Indian Country Today*, 22 January 2017.

Still, the shift in attitude of the Standing Rock Sioux Tribal Council came as a shock to many protestors. In an emergency meeting on January 20, 2017, the tribal council voted unanimously to close down the protest camps by February 19. "The main objective of the people of the Standing Rock Sioux Tribe was to stop the construction of the Dakota Access Pipeline, which has been achieved to a degree," justified district representative Cody Two Bears. The decision followed another week of violent clashes between protestors and law enforcement at Blackwater Bridge near the site. "What's that bridge got to do with the DAPL?" district representative Frank White Bull complained, "We need that bridge." Thirty-five people were arrested in the clash, bringing up the total number of arrests since the beginning of the protests to 624. Indeed, the closing of the bridge had put an enormous financial strain on the Standing Rock community. The loss of revenues from the casino cut into tribal programs for children and elders. Faced with this crisis, the tribal council voted to "dip into its \$6.5 million raised in donations to its legal funds to help offset some of the financial burden."<sup>1</sup>

The decision by the tribal council to end the camps angered some protestors. Standing Rock Sioux tribal member Edward Black Cloud accused the tribal council of betraying the cause: "I know how much money is involved, what's in the pocket of the council . . . You guys are wrong for sending these guys [protestors] home. They gave their heart to you."<sup>2</sup>

Other protestors understood the council's decision, which claimed that the protests had brought crime, alcohol and drug use into the Cannonball district, and that elders no longer felt safe in their own communities. Chairman Archambault, once an initiator and cheerleader of the protests now criticized the "lack of leadership" among the protestors. "I'm worried now that our most recent behavior, these actions on the bridge, are going to give reason for the incoming president to do away with what we worked so hard for, in getting the EIS [Environmental Impact Study]."<sup>3</sup>

So, was the protest betrayed by the tribal council? Some protestors certainly believed so. Others knew the battle had been lost and accepted defeat. The Standing Rock Sioux Tribal Council claimed the inclusion of the Environmental Impact Study into the public record as a major victory. It was not. But this did not make the protest less valuable. Success or failure should not be measured only in terms of victory or defeat. Success can be measured in other ways as well: for almost a year, the DAPL had united Native Americans all over the country. International support for the movement had grown. The "water protectors" at Standing Rock had inspired similar protests around the country. In West Texas, in Washington State, in Minnesota, and elsewhere, Native and non-Native protestors demonstrated against the construction of pipelines.<sup>4</sup> "It was heartening to see so many visitors and water protectors representing more than 200 Native Nations throughout the U.S. and Canada as well as many other indigenous communities throughout the world," wrote Deborah His Horse Is Thunder. She especially welcomed the involvement of young Native people, students, and tribal colleges in supporting the movement.<sup>5</sup> Others argued that "the protests helped raise awareness nationwide about their broader push for cleaner energy and greater respect for the rights of indigenous people." The tactics learned at NoDAPL protests, including "resistance camps, prominent use of social media, online fundraising," were now used elsewhere as well.<sup>6</sup>

Still, at the political level the defeat was complete, as exemplified by the Trump administration's decision to reverse the Obama administration's suspension of the Keystone XL pipeline. But this was not a defeat of American Indians, rather, it was defeat for all of Progressive America. President Trump also signed an executive memorandum calling on the U.S. Army Corps of Engineers to expedite the project review for the DAPL, and by March 2017, Trump had signed executive orders authorizing both the DAPL and the Keystone XL pipelines.<sup>7</sup>

By May 2017, oil was flowing through the DAPL. A few remnant protestors, who had set up camp in Iowa following the evacuations in February, pinned their hopes on the Iowa Supreme Court to rule against the pipeline.<sup>8</sup> It was to no avail. Not

<sup>1</sup> "Standing Rock Tribal Council Approves Evacuation order for All Camps," Indian Country Today, 22 January 2017.

<sup>2</sup> "Standing Rock Tribal Council Approves Evacuation order for All Camps," Indian Country Today, 22 January 2017.

<sup>3</sup> "Too Risky: Northwest Tribes, Environmental Advocates Oppose Trans Mountain Pipeline Expansion," Indian Country Today, 20 December 2016; "Bad River Chippewa Want Enbridge Pipeline Removed," Indian Country Today, 16 January 2017; "Water Protectors Fight Trans-Pecos Pipeline in West Texas," Indian Country Today, 1 February 2017; "Water Protectors Fight Atlantic Coast Pipeline," Indian Country Today, 30 March 2017; "Dakota Access fight provides blueprint for pipeline protests," Minnesota Public Radio News, 2 April 2017.

<sup>4</sup> "Line Drawn: Tribal Colleges Stand With Standing Rock," Indian Country Today, 5 February 2017.

<sup>5</sup> "Dakota Access fight provides blueprint for pipeline protests," Minnesota Public Radio News, 2 April 2017.

<sup>6</sup> "Fracking, Pipelines and Cal Projects Trample Indigenous Rights," Indian Country Today, 26 March 2017.

<sup>7</sup> "Oil is Flowing in the Dakota Access Pipeline, but Protesters aren't giving up," The Des Moines Register, 11 May 2017.

<sup>8</sup> "Dakota Access Pipeline Springs a Leak," Indian Country Today, 16 May 2017.

even a small oil spill (84 gallons) near a rural pump station could turn the tide.<sup>1</sup> Meanwhile, the State of North Dakota struggled with the financial “fall out” of the protests after it spent \$38 million on law enforcement during the protests. In April 2017, Governor Burgum asked President Donald Trump for help, but the Federal Emergency Management Agency denied Burgum’s request in May on the grounds that it did not involve a natural disaster.

### Conclusion

Though the DAPL protest ultimately went down in defeat, it changed the Native American political landscape. The protests showed young Native Americans how to make their voices heard. The protests also initiated a new era in pan-Indian solidarity. The use of social media to publicize their protest, amplify their voices, and reach out to Native and non-Native peoples around the world, inspired a new generation of Indian activists.

Sadly, the protests at Standing Rock also provide hard lessons in political realism. Though the protestors achieved national and international sympathy and support on a hitherto unprecedented scale, the political mood in the country during an election year proved to be too much for the protest to overcome. Donald Trump’s social media campaign crushed the NoDAPL protests and his ultimate electoral victory demoralized the protestors.

Still, though the loss at Standing Rock was a painful reminder how colonialism’s hold on Native America is as strong as ever, the protest nevertheless galvanized a new generation of Native Americans and it may have been laying the groundwork for a global indigenous movement. How this movement will develop from here is uncertain. After all, though social media’s power to unite people is undeniable, the events in 2016 also show its potential to divide and fragment.

### \* About the authors

**Paul Lee** is a visiting assistant professor at Texas A&M University at Qatar. He specializes in Anglo-Indigenous relations in the colonial era and is working on a book titled *The King’s Troops, Native Warriors, and African Pioneers: British Soldiers in the Colonial Southeast in the Seven Years’ War*. His research focuses on intercultural history and slavery in the Atlantic World.

**Mark van de Logt** is an assistant professor of history at Texas A&M University at Qatar. He specializes in Native American history, culture, and religion. He is the author of *War Party in Blue: Pawnee Scouts in the U.S. Army* (2010) and *Monsters of Contact: Historical Trauma in Caddoan Oral Traditions* (forthcoming).

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<sup>1</sup> Alexander Sarris, Piero Conforti, and Adam Prakash, “The Use of Organized Commodity Markets to Manage Food Import Price Instability and Risk,” *Journal for Agricultural Economics* 42, no. 1 (2011): 47–64.

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## DDP EFL Student Teachers' Perceptions About the Qualities of a Professional Teacher

Melike Bekereci

Res. Asst. PhD Cand., Faculty of Education, Middle East Technical University, Turkey

### Abstract

This study explores how EFL student teachers of an undergraduate dual diploma program describe the qualities of a professional teacher after spending a year in their partner university in the United States, and after experiencing international and local practice teaching contexts. As a case study, the data were obtained through in-depth interviews, student teachers' observation journals, and a survey. The interviews were audio-recorded and transcribed verbatim. In addition, student teachers' observation journals were gathered on a weekly basis. As a supplementary tool, International Survey (TALIS) was administered to all participants. The collected data suggested that study abroad and international short-term fieldwork experience made contributions to their perceptions about the ideal teacher thanks to broadening their worldviews about multiculturalism and diversity, and improving their personal skills, including human relation and communication skills. As a result of these experiences, the prospective teachers re-shaped their perceptions and attributed new features indicating interpersonal skills to the image of a professional teacher. The study also revealed that after returning to Turkey and completing Practice Teaching course in one of the cooperating schools, their perceptions were re-shaped again under the influence of experiencing a real teaching context with the same students for a long time. They indicated that while international fieldwork and study abroad experience showed them being fluent in English, patient, eager to raise human beings, and being able to address individual differences in a classroom, thanks to local practice teaching experience, they added new features to them, including love of teaching, motivating students for life-long learning, being a facilitator to help them find their own path, attending to the learner, getting along with students within the framework of respect, kindness and temperateness, dealing with disruptive behaviors and accomplishing classroom management by developing techniques to create a safe and pleasant learning environment for students.

**Keywords:** professional teacher, practicum, study abroad, EFL student teachers, dual diploma program

### 1. Introduction

As the dominance of English increased the demand for English teaching professionals, it is a prominent issue to have qualified professionals in learning and teaching field. Even though English language teaching is a huge field with its a great number of graduates and professionals, "it seems to fall far short of meeting the needs generated from the countries' rapid developments in the economy, science, and technology, and from increasing contact with the outside world" (Qin, 1999, p. 24). To this end, the importance of increased need for qualified English teaching professionals cannot be overemphasized. Within a realistic approach, theoretically and practically, no teacher is 'ideal'. To this end, the concept of ideal teacher may refer to the teacher who achieves a level of perfection in his/her job. In line with this claim, Harris & Sass (2009) define three main categories of teachers: 1) teachers those that have natural talent, 2) teachers those who fulfill vocational requirements but do not have the professional skills, and 3) teachers those that are not appropriate for this profession, but choose and sustain this job because of various reasons. For educational research, these categories may serve as the starting point of for studying teachers' affective, cognitive and behavioral differences, since teachers' personal beliefs and teaching acts shape their way of integrating to the teaching profession. From this perspective, it is beyond a doubt that teachers' actions influence their students, since they construct intellectual and emotional affinity. To this end, the quality of teachers has a larger impact on students than the quality of the curriculum, the teaching methods, the school building or the role of parents (Hattie, 2009). In order to identify specific qualities, which are connected to the teaching profession, the term 'educational professional' is used to "indicate and emphasize the prestige and status of the teacher" (Snoek, 2009, p.2). As a result of this attempt, in the past century, the concepts of 'professional teacher' and 'professionalism in teaching' have been used to shift perspectives in the field (Evetts, 2006). Since teachers start to shape or re-shape their perceptions

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about the teaching profession during the practicum by experiencing educational contexts and their realities (Ten Dam & Blom, 2006), practice teaching plays a key role in helping student teachers and in-service teachers while developing and improving their teaching practices. In a similar vein, the contribution of study abroad programs to teachers' professional development and their understanding of professionalism have been covered within the scope of increasing cultural awareness and interpersonal skills, improving teaching skills, and minimizing the personal barriers. To this end, it is clear that student teachers' practice teaching and study abroad experiences are worthy of being studied in order to gain an in-depth understanding of student teachers' perceptions about the qualities of a professional teacher, who have study abroad experiences and attend to practice teaching as future teachers.

## 2. Literature Review

Barr (1995) conducted a study with six teachers from University of Waikato, New Zealand, who took part in an international student teacher exchange program in the United States. The researcher conducted interviews with the participants in order to learn their perceptions about the United States education system and whether or not their educational perspectives had been changed after attending to this program. While three of the participants were senior year students, the rest of them were graduates and working as teachers. The study revealed two important results. Firstly, they indicated that exchange would have been more effective if they had had more teaching practice experiences in New Zealand, since these experiences provide student teachers to integrate theory into practice. Secondly, the study reveals that opportunity to travel to the United States attracted students to enroll in the program, since all of the participants indicated that they aimed to experience two different education systems, go overseas and take the chance to live in a multi-cultural environment, which they found a big opportunity to develop awareness about individual differences, diversity and multiculturalism. From the advantages of international practicum perspective, Sahin (2008) conducted an exploratory study exploring the impact of international teaching experience on the personal and professional development of student teachers in Turkey. With the help of a survey for mentor teachers and student teachers and an interview conducted with only student teachers, the researcher found that the main contributions of international experience were personal and professional development along with increasing self-confidence, the opportunity to live in different cultures, and compare the U.S. and Turkey education systems. In terms of student teachers' personal development, it was found that thanks to these experiences, participants improved their interpersonal skills and perceptions of responsibility. Another contribution of these experiences was that they gained great insights into multiculturalism, which facilitated cultural awareness and respect to diversity. It was also revealed that student teachers made progress in the development of their self-motivation, self-confidence, and interaction with other individuals. Another similar study conducted by Ozek (2009) in a Turkish context in order to shed light on how international teaching experiences made an impact on five student teachers in terms of educational philosophies and their expectations from the profession. The researcher administered two questionnaires before and after their practicum and collected their journals. The study found that the student teachers became more aware of cultural and global aspects during the overseas teaching experience. This experience also helped them improve their self-confidence. Moreover, their international experiences re-shaped their perspectives about the integration of diverse teaching approaches and utilizing the technology in classrooms and using authentic classroom materials. In a similar vein, a study was carried out by Pence & Macgillivray (2008) in order to examine the effect of international fieldwork experience on student teachers personal and professional development. They collected the relevant data by making use of students' journals, focus group interviews with supervisors, keeping observation notes, students' reflections at the end of the experience, and employing a questionnaire. It was found that all student teachers reported personal and professional changes emerging from the short-term international experience. The study also revealed that these experiences helped them improve their self-confidence, provided them an opportunity to see language differences and teaching for diversity.

A similar study conducted by Kabilan (2013) in order to explore six Malaysian student teachers' overseas fieldwork experience in Maldives. The data were collected through questionnaires and reflective journals. The study revealed that student teachers benefitted from the program in terms of increasing confidence in communication skills, improving interpersonal skills, and gaining a new perspective about education and culture. Examining 168 Kenyan and 189 American pre-service teachers through a cross-sectional survey research design, Gibson & Dembo (1984) found that the participants ended up with higher self-efficacy, motivation, and tendency to praise students more. Similarly, Cushner & Mahon (2002) investigated 50 American pre-service teachers who had study abroad and fieldwork experience running from 8 to 15 weeks in Australia, Ireland, and New Zealand. The data were collected through five types of open-ended questions. The study revealed that overseas experience helped them develop personal, professional and global perspectives through increased sense of cultural awareness, global-mindedness and acceptance of cultural diversity. From the perspective of preparing culturally responsive teachers, Marx & Moss (2011) conducted a case study with one pre-service teacher, who was enrolled

in a teacher education study abroad program. Data were collected through observations and five in-depth interviews. The first one was conducted prior to her departure, while three of them were conducted periodically. The last one was conducted after completing the program. The results revealed that participation in the program positively influenced her intercultural development and interpersonal skills, which were found very crucial for professional life in terms of working with students coming from different backgrounds and developing consciousness about individual differences.

As practicum is of vital importance for student teachers, Zeichner (2010) draws attention to the fact that practicum plays a crucial role in terms of enabling prospective teachers observe their mentor teachers' performances and rethink their own perceptions of professionalism. Similar to these explanations, Yazan (2015) explored five ESOL teacher candidates' professional learning experiences during practicum and the effects on their professional understanding. Data were collected through in-depth interviews and the results revealed that practicum re-shaped their insights about the teaching profession and school culture, which provided them 'professional acclimatization'. In addition, the study also found that mentor teachers' and supervisors' support allowed them to scaffold their professional learning. In Turkish context, Şimşek (2014) examined twenty-six English language pre-service teachers' professional perceptions before and after practicum. This qualitative study made use of metaphor analysis as a data collection tool. It was found that participants' conventional teacher images decreased, while modern, humanistic and participatory view of language teaching was enhanced. The study put forward that they initially regarded an ideal teacher as the 'authority' who taught subject knowledge and monitored students. After the practicum, they believed that discipline and behavior problems could only be prevented through understanding individual differences and establishing a good relationship with students.

Similar to Şimşek's (2014) study, Yuan & Lee (2014) conducted a research in order to examine three student teachers' perception changes during their practicum. The data were collected twice, i.e. pre-practicum and post-practicum in China. This study made use of interviews, observations and students' reflective journals as data collection tools. The results revealed that participants' perceptions were re-shaped during practicum. Previously they perceived the teacher as the 'authority' in the class. On the other hand, at the end of the practicum, they mentioned that they questioned their pre-perceptions and noticed that a teacher is not all knowing and should criticize him/herself rather than hiding his/her imperfections. Likewise, Oruç (2013) concentrated on a teacher trainee during her teaching practicum. The researcher collected the relevant data through interviews and reflective journals. The study revealed that her perceptions about classroom discipline and disruptive behaviors have changed during the practicum as a result of observing a professional teacher and developing strategies to cope with them. In addition, she reported that after sharing the same environment with her 'future colleagues', she began to feel like she is one of them, which helped her involve in a real professional group and re-shape her perceptions about the profession.

According to Fischl & Sagy (2005), there are two main elements that might shape or re-shape student teachers' images of a professional teacher. While the first one is past teachers who are seen as 'role models', the second one is the student teachers' 'self-images' as learners. Thus, before attending to teacher education programs, student teachers' perceptions about the teaching profession and the ideal teacher have been already shaped, but they are updated especially under the influence of their experiences lived during the practicum. From this perspective, Seymen (2012) conducted a qualitative study with six student teachers. The data were collected through interviews and in-class observations before and after the participants' practice teaching in order to identify the impact of this experience on their perceptions about the ideal teacher. The study revealed that participants defined the required qualities of an ideal teacher in the first interview as facilitator, controller, resource of information and a guide for students to help them discover themselves. The second interview showed that the qualities of an ideal teacher, which were mentioned during the first interviews, did not change after the practicum. According to the participants, the underlying reason for this situation was the participants' belief that their perceptions could change only with experience. Besides, the study revealed that student teachers expected to have good relationships with students, which implied that they cared about their communication with their students. Similarly, Rusu et al. (2011) conducted a study conducted a case study with a group of 77 students from two faculties in order to obtain their perceptions about the ideal teacher. The researchers made use of students' essays as a data collection tool. According to the participants, the features of an ideal teacher can be listed from most important to least important as follows: human relation skills, fair assessment, subject matter knowledge, facilitator of students' intellectual development, respectful, dynamic lecturer, and good listener. Examining the qualities of an ideal teacher, Telli et al. (2008) conducted a study with 21 teachers and 276 students by making use of an open-ended questionnaire and interviews. The aim of the study was describing the characteristics of an ideal teacher from an interpersonal point of view. The researchers found that students and teachers described the ideal teacher as a person who guides students, motivates and encourages them, gives confidence, has a

tendency to build positive relationships with them, and earns respect from students with the help of good communication skills.

Devine et al. (2013) conducted a mixed methodological study in order to examine teacher beliefs and practices about their teaching within the framework of the concept of good teaching. The study made use of observations, a survey and interviews to collect the data from both students and teachers. The study revealed that the good teacher has a passion for teaching and learning, and should be socially and morally aware in terms of being responsible of raising children and young people. In addition, the study put forward that an ideal teacher is a person who is an active learner and has higher-order thinking skills, which can be summarized as being a reflective practitioner. Besides, the participants defined an ideal teacher as a good manager of the classroom. Finally, according to the study, an ideal teacher has a love for children and young people, which provide him/her a genuine desire to pursue teaching as a career. In a similar vein, examining both students' and teachers' perceptions about the characteristics of a good teacher by making use of questionnaires and open-ended questions, Bullock (2015) found that students associated a good teacher with the following characteristics: technological skills, content knowledge, and attending to learners. Apart from these skills, they also pointed out the personality traits of a good teacher as follows: helpful, kind, funny and positive. Moreover, according to students, a good teacher is a person who has good relationships with his/her students with the help of creating a peaceful environment, listening to them, praising them, being available to listen to them when they need him/her, being respectful and responsible, and trusting his/her students that they will do their best in exams/tests. On the other hand, according to teachers, a good teacher is a person who is always punctual, prepared, organized, and flexible with changes, knowledgeable about the content and a life-long learner. Apart from that, they defined a good teacher as creative, be open to try new things, cheerful, and be able to make his/her students willing to learn more.

### **3. The Context of the Study**

This study was conducted in a dual diploma program (DDP), which is an undergraduate program in which students spend one or two years of their undergraduate education at a campus of the State University of New York (SUNY), USA and spend the rest in partner Turkish universities. Middle East Technical University Department of Foreign Language Education in collaboration with the State University of New York at New Paltz is offering a dual diploma undergraduate program in Teaching English as a Foreign Language (TEFL) and Liberal Studies. The four-year program in TEFL- Liberal Studies includes full-time enrolment for six semesters at METU, and two semesters and two summer terms at SUNY- New Paltz. While students spend their first, second and fourth years at METU, third year students study at SUNY-New Paltz campus, where they also attend two summer sessions. In SUNY-New Paltz, TEFL students take Field Experience Course offered by School of Education. After returning to Turkey, senior year students take Practice Teaching Course which offers students an opportunity to involve in planning lessons, adapting and developing materials, utilizing their lesson plans and materials, and having teaching experiences in a real classroom.

### **4. Aim of the Study**

This study may reveal important results regarding DDP student teachers' perception changes about the qualities of a professional teacher after experiencing study abroad and practice teaching experiences. In addition, this study offers an investigation of DDP EFL student teachers' perceptions about the essential qualities of a professional teacher under the influence of their study abroad and practice teaching experiences. Finally, the implications of this study may raise the awareness of the teacher educators who are responsible for training prospective teachers as language professionals. To achieve these aims, this study attempts to find answers to the following research questions: 1. What is the role of study abroad experience in shaping EFL student teachers' perceptions about the qualities of a professional teacher?, 2. How does practice teaching experience make an impact on EFL student teachers' pre-existing perceptions of the qualities of a professional teacher?

### **5. Methodology**

#### **5.1 Participants**

Five senior year students studying in the METU-SUNY New Paltz Dual Diploma Program in Liberal Studies and English Language Teaching were the participants in this study. These five students were regular students of the program, which means they went to the USA at the end of their second year and spent one year at New Paltz campus experiencing Fieldwork at a state school in the United States. Then, they returned to Turkey to complete the program as senior students and enrolled Practice Teaching course in their final semester at METU.

## 5.2 Data Collection Tools

In this study, the relevant data were collected through semi-structured interviews, document review and a survey. The participants were asked questions from various aspects of their perceptions about the teaching profession, future plans, practicum experiences and their opinions about the qualities of a professional teacher. The first interview was conducted at the very beginning of the semester in order to have an understanding about participants' pre-existing beliefs on the teaching profession and the qualities of a professional teacher. The second interview was conducted at the end of the semester after the participants completing Practice Teaching course. The aim of the second interview was gaining insights into effect of practicum experience on their perceptions about the teaching profession and qualities of a professional teacher. The first and the second interviews are mostly comprised of the same questions in order to see whether practice teaching experience had an impact on their pre-existing beliefs about the teaching profession and the idea of professionalism. After conducting these two interviews, the researcher organized the third individual meeting with the participants in order to ask them the underlying reasons for changing or not changing their answers in the second interview. As a supplementary data collection tool, the study benefitted from participants' observation journals. They were not specifically produced for this research study, but all of them were written in the scope of Practice Teaching course on a weekly basis. Additionally, The OECD Teaching and Learning International Survey (TALIS) was administered to all participants. Since the survey is designed for in-service teachers, the researcher made use of only its two sections, which are related to teachers' personal beliefs on teaching and learning, and professional development needs.

## 5.3 Data Analysis

In this study, for the analysis of semi-structured interviews, the analysis method suggested by Miles & Huberman (1994) was used. Firstly, the audio-recorded semi-structured interviews were transcribed verbatim. After highlighting the important statements in order to eliminate the mass of unconnected data, the researcher developed a system to retrieve codes and themes from the raw data, which were early labels of data, including little inferences and interpretations of the researcher. This stage enabled the researcher to group similar kinds of information to form the categories. For the analysis of participants' observation journals, the researcher read and re-read reports in order to mark the significant statements. Finally, the data obtained from the survey were analyzed through SPSS program and descriptive statistics, including means and standard deviation were indicated.

## 6. Results and Discussion

The purpose of the first question was to investigate the perceptions of DDP EFL student teachers holding about the qualities of a professional teacher before taking the practicum in Turkey. During the first interviews, all participants appreciate to a teacher as the most significant quality the human relation skills. According to them, teachers' positive traits are of vital importance to be a professional. The positive traits mentioned during the first interviews can be summarized as being establishing a transparent relation with students, leaving your personal life at the door, taking the responsibility of students' way of being, friendly, sympathetic, and knowing the students' psychology in order to address individual differences and diversity. The study also reveals that being patient and temperate are the other significant personal traits that attributed to a professional teacher. In this study, as the personality traits, including communication competencies and human relation skills, were mentioned to define the professional teacher, these results are aligned with Bullock's (2015) and Telli et al.'s (2008) studies, which emphasized that an ideal teacher guides students, motivates and encourages them, gives confidence with the help of building positive relationships with them, and earns respect from students by making use of good communication skills.

As it is extracted from the participants' statements, student teachers began to shape their perceptions about professionalism under the influence of their studentship memories and apprenticeship of observation experiences in the United States. According to the participants, living and studying in multicultural environment for a time might increase awareness for appreciating individual differences and help them develop required abilities for addressing all types of students in the classroom. The similar results were reported in Ozek's (2009) and Sahin's (2008) studies, which emphasized the contribution of study abroad experiences to student teachers' awareness of cultural and global aspects of teaching. In addition, Pence & Macgillivray's (2008) study yielded the similar result, which indicated study abroad and international fieldwork experiences helped teachers improve their self-confidence, provided them an opportunity to see language differences and teaching for diversity. Since Barr's (1995) study revealed that experiencing two different education systems, going overseas and taking the chance to live in a multi-cultural environment were big opportunities to develop awareness about individual differences, diversity and multiculturalism.

As the participants implied that living in an English-speaking country for fourteen months made great contributions to them about communication skills, engagement in American culture, fluency, and the importance of student-centered education system, it is in line with Kabilan's (2013) study which found the advantages of study abroad experiences for prospective teachers as having new worldviews, increasing confidence in communication skills, improving interpersonal skills, and gaining a new perspective about education and culture. In line with this study, Marx & Moss (2011), Gibson & Dembo (1984) and Cushner & Mahon (2002) yielded similar results emphasizing the significance of study abroad and international fieldwork programs to train culturally responsive teachers. Overall, these results show that as the participants of this study were dual diploma students, they experienced two different educational contexts, had an opportunity to study and make observations in multicultural classes. In that sense, these experiences might have an impact of their perceptions about the qualities of a professional teacher, which they implied mostly personal traits and their experiences lived during their study abroad education. Additionally, the first interviews revealed that student teachers' images of an ideal teacher were initially shaped during their primary and high school years. This result is in line with Fischl & Sagy's (2005) claims.

In the middle of the semester, while the participants' of this study was continuing their practice teaching course in Turkey, a survey was administrated in order to check whether their perceptions about the qualities of a professional teacher changed or not. The survey indicated that all participants agreed upon the following qualities that a teacher must have: deciding on the most effective activities, facilitating students' own inquiry, helping students find their own paths, providing clear and correct instruction for students' achievements. As it is clearly drawn that after involving in a real teaching environment with real students for a long time, participants' perceptions about the required qualities were slightly changed. They began to mention being able to provide efficient instruction, being facilitator for students' personal and academic developments and course design. These results are in line with Seymen's (2012) results, which emphasized that student teachers perceive a professional teacher who is facilitator, controller, resource of information and a guide for students to help them discover themselves. Similarly, as Oruc's (2013) and Yuan & Lee's (2014) indicate that practicum experiences play a crucial role in re-shaping student teachers' perceptions, these studies put similar results with the current study. Interestingly, the survey showed that according to participants, student assessment practices is not of vital importance for professional development needs. This result is not in line with Rusu et al.'s (2011) findings emphasizing the fact that student teachers attributed the ability to employ fair assessment to the ideal teacher. Moreover, the participants did not mention even a sentence about student assessment during the interviews and their observation reports. This result might derived from the fact that they had very limited or no assessment experience during their fieldwork and practice teaching course, which is not enough to make any claims about this issue.

During the Spring semester, participants' observation reports, which were written in the scope of Practice Teaching course, were collected and read to find an answer for the second research question. According to these reports, after experiencing teaching practice and observing mentor teachers for a long time, the participants realized that teachers should praise and encourage students by providing them constructive feedback. In addition, they mentioned that their perceptions have changed about the role of the teacher in the classroom. Participants stated that teachers should not be seen as an authority figure, but a guide to help students find their paths and a manager to provide students a safe and pleasant learning environment. They also indicated that using communication skills is the best way in order to deal with students' disruptive behaviors during the lesson. In addition, participants indicated that teachers should be aware of students' individual differences while trying to enhance their involvement in the lesson and try to motivate them by praising their strengths while finding solutions for their weaknesses. These results are in line with Gibson & Dembo's (1984) findings. It is crystal clear that student teachers' perceptions about the qualities of a professional teacher changed after experiencing practicum in Turkey. After completing their teaching practice, a second interview was conducted with them. These interviews showed that after being involved in a real teaching community and a lively classroom environment in the cooperating school, participants mentioned that a professional teacher should facilitate students' intellectual development. According to participants, a professional teacher is the one who knows how to transfer his/her knowledge to the students in order to stimulate their intellectual development. This result is in line with Rusu et al.'s (2011) one of the findings, which emphasizes that the role of the ideal teacher is enhancing students' intellectual profundity. In addition, the participants mentioned that besides subject matter knowledge, material development and getting along with the students are the features of a professional teacher. Besides, according to their after teaching practice opinions, an ideal teacher should love his/her job and being open to innovations in order to find the necessary motivation to develop himself/herself professionally. This result aligns with Devine et al.'s (2013) findings, which states that an ideal teacher has a love for children and young people, which provide him/her a genuine desire to pursue teaching as a career. The underlying changes of participants' perceptions might derived from the fact that practicum is a process to have opportunities for being involved in a real teaching community

and observing real classroom facts, having a real teaching experience and getting in touch with the same students for a long time in a real learning context. The participants indicated that thanks to practicum, they learnt to take students' desires and expectations from them to forefront and re-shaped their perceptions about the teaching profession and teacher images. In line with these results, Yazan (2015) and Zeichner (2010) put the similar results in their studies in terms of implying the fact that practicum plays a crucial role in terms of enabling prospective teachers observe their mentor teachers' performances and rethink their own perceptions of professionalism.

## 7. Conclusion

This qualitative case study explored DDP EFL student teachers' perceptions about the qualities of a professional teacher and the effects of study abroad and local practice teaching experiences on shaping or re-shaping their perceptions. This study may provide important results for student teachers and teacher educators. Firstly, as teaching practicum is a critical period of prospective teachers' life in terms of shaping their decisions about their career path and reshaping their perceptions about teaching profession, providing them an efficient practice teaching experience to is of vital importance. These experiences help student teachers enter the profession more confident and well prepared. Secondly, this study also indicates that study abroad and especially international fieldwork experience play a key role in training culturally responsive teachers for English language teaching field. In that sense, more attention should be attached to fieldwork in terms of increasing the duration of this experience, which may provide them to spend more time in a multicultural environment and have more teaching experiences in a diverse classroom. It is clear that these experiences may make great contributions to prospective teachers' for addressing to individual differences and being able to design courses for different student profiles.

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## Instructional Design Model for Applying Flipped Learning in Higher Education Institutions

**Dr. Mohd. Elmagzoub A. Babiker Eltahir**

College of Education and Basic Sciences, Ajman University, Ajman, UAE

### Abstract

The era of globalization, growth and development of information and communication technology (ICT) and its application to learning and teaching has influence on our modern generation students, making the teaching traditional methods are useless. Changing familiar instructing methods can be a challenge available for instructors as a way to ignite our students' curiosity and make our teaching materials more engaging and effective. Recently, the flipped learning model has been recognized by educators as an effective instructional approach (Hwang, & Wang 2015), it is a pedagogical approach in which the typical lecture and activities elements of a course are reversed, where students individually watch online lectures prior to class and then engage in classroom learning activities interacting with peers and instructors. Flipped learning model helps instructor to focus more on student-centered learning, which includes any use of the technology to take advantage of learning in the classroom, so that the instructor can spend more time interacting with the students instead of lecturing. The purpose of this study is to suggest instructional design (ID) model for teaching undergraduate courses applying the flipped learning model. Research on ID models may be classified into three different types: model development, model validation, and model use. This study concerned the first one of these, and it is based on the ADDIE, Dick and Carey model. The process begins with planning, followed by programming, then Coaching. Assessing and evaluating occur continually throughout the process and act as valuable mechanisms for monitoring progress and identifying achievement. At each stage of the process, instructors base their decisions on the requirements of the course curriculum, and, equally importantly, on their students' needs.

**Keywords:** Flipped Learning, Flipped Classroom, Flipped Pillars, Information Communication Technology (ICT), Instructional Design (ID).

### Introduction

Information Communication technologies play a more important role in the early part of the 21st century than they have ever done before. There are a number of reasons for this. Technology is taking its rightful place in the society now, in the workplace, education, and home. In fact, the changes that are taking place all around us are due to the prevalence of technology in our environment. Information communication technologies are helping people to work faster, more intelligently, more efficiently and more productively than ever before (Collins, & Halverson, 2010). However, the effect of the new technologies in our educational institutions is not as profound as it might be; there are still very many instructors who are uncomfortable in the ICT controlled environment (Marshall, & Ruohonen, 2013; Inan, & Lowther, 2010; Collins, & Halverson, 2010). They prefer to use the traditional teaching aids even when multimedia application would be enjoyable and more effective class-teaching means. They still convinced that they are the only major source of knowledge and they are not admitting that instructors in modern classrooms are no longer lecturers, they are facilitators. They need to teach their learners how to gain information and how to select and use them. They need to implement student-centered learning approaches in their instruction (McCarthy, 2015). In addition, because "the whole education system is moving towards a better support of individual abilities and self-directed play a much bigger role than in the past" (Marshall, & Ruohonen, 2013), they need to create a learning environment that supports individuals to learn what they need to know or to do. They need to integrate technology in their instructional design and classroom, just knowing how to use a computer and technology hardware is not enough. Instead, as Ertmer & Ottenbreit (2010) said:

*Teaching with technology requires instructors to expand their knowledge of pedagogical practices across multiple aspects of the planning, implementation, and evaluation processes. (Ertmer & Ottenbreit 2010, p. 264)*

Higher Education institutions are facing the pressures from globalization and the development of information and communication technology (ICT), which demand experience with technology, different skills, and a different learning experience. These demands place higher education institutions in a difficult position, and to a certain extent they are forced to explore new delivery modes that accommodate learner needs in the 21st century. However, changing familiar teaching methods can be a challenge available for instructors as a way to ignite our students' curiosity and make our teaching materials more engaging and effective.

Recently, the flipped learning model has been recognized by educators as an effective instructional approach (Hwang, & Wang 2015), (Brame, C. 2013), (Berrett D 2012). It is an instructional approach that helps the instructor to focus more on student-centered learning, which includes any use of the technology to take advantage of learning in the classroom, so that the instructor can spend more time interacting with the students instead of lecturing. It can improve learning by encouraging reflection instead of mere reaction, and by emphasizing results rather than attendance. Through communication, learning becomes an active process where everybody involved in the learning experience has to constantly contribute to the learning process by sharing his or her thoughts and ideas to the class discussion. Critical thinking and collaborative knowledge construction creates an empowering learning process.

The flipped learning model meets the needs of learners in the 21st century, and facilitates a learning experience that equips learners with the necessary skills and attitudes (Lee, J., Lim, C. & Kim, H. 2017). Higher education institutions can therefore justify investment in this delivery mode. But, instruction needs to be clarified, because not all instruction is effective, "Effective instruction is instruction that enables students to acquire specified skills, knowledge, and attitudes" (Reiser & Dick, 1996). The role of instructor and what it can accomplish as well as its limitations must be understood.

This study suggests instructional design (ID) model for teaching undergraduate courses applying the flipped learning model. Research on ID models may be classified into three different types: model development, model validation, and model use. This study concerned the first one of these, and it is based on the ADDIE, Dick and Carey model. The process begins with planning, followed by programming, then Coaching. Assessing and evaluating occur continually throughout the process and act as valuable mechanisms for monitoring progress and identifying achievement. At each stage of the process, instructors base their decisions on the requirements of the course curriculum, and, equally importantly, on their students' needs.

### **Core Concept**

First I will inspect four core concepts that are needed for this article: Instructional design, Flipped Learning, Flipped Classroom and Flipped Pillars.

### **Instructional Design**

In general design is a systematic planning process prior to implementation. Or engineering something according to specific criteria and the term is used in many fields such as: decoration, interior design, engineering, industry, and trade. In the area of education, the instruction design is a modern science that has emerged in recent years of the twentieth century; it is concerned with understanding and improving the teaching and learning process. According to Gagné and Briggs (1974) instructional design augments learning by incorporating various strategies into courseware, for example structuring, ordering and sequencing content in particular ways, depending on the expected learning outcome. Seels and Glasgow (1998), state that "instructional design is the process of solving instructional problems by systematic analysis of the conditions for learning ."

Berger and Kam (1996), point out that instructional design is the systematic process of translating general principles of learning and instruction into plans for instructional materials and learning. Jonassen (2001) defines Instructional design as "the application of theory to create effective instruction". In today's world, with an emphasis of lifelong learning, instructional design is not merely an organized approach to product or course development. It is instead "a generic process for analyzing human performance problems and determining appropriate solutions to such problem" (Richley et al. 2001, p. 29).

According to Charles (1983) instructional design is concerned with understanding, and applying methods of instruction. It is the process of deciding what methods of instruction are best for bringing about desired changes in student knowledge and skills for specific course content. It can be the process of translating general principles of learning and instruction into plans for instructional materials and learning. It is the entire process of analysis of learning needs and goals through to the evaluation of the instructional program. Instructional design pays attention to instruction from the learner perspective than

from the content perspective which is traditional approach (Isman, 2011). Instructional design is concerned with understanding, improving, and applying methods of instruction (Reigeluth, 2013).

Instructional design is a systematic approach to building a program, courses study units or lessons (Dick & Carey, 2001). It provides one framework for the systematic design, development and management of educational material and program. This systematic model of instructional design is often referred to as ADDIE model because it consists of five phases – analysis, design, development, implementation and evaluation.

### **Flipped Learning In The Context of Flipped Classroom**

The Flipped Learning Network distinguishes between a Flipped Classroom and Flipped Learning. "These terms are not interchangeable. Flipping a class can, but does not necessarily, lead to Flipped Learning" (FLN, 2014). They believe that the flipped learning is the logical next step in the evaluation of the flipped classroom.

Flipped classroom pioneers Bergmann and Sams (2014) in their book *Flipped Learning* state that the original flipped classroom concept focused on delivering content and didn't ensure student-centered learning, "we want to be clear that what has popularly become known as flipped classroom is only one basic form of flipped learning model" (Bergmann and Sams 2014, p. 5). The commonly known definition of the flipped classroom is an instructional strategy aimed at the use of modern technology and the Internet in a way that allows the instructor to prepare the lesson through video clips or audio or other media files, for the students to watch in their homes at their own pace using their computers or their smart phones or tablet devices before attending a class, While the class is devoted to discussions, projects and doing homework. The video is a key element in this type of education where the instructor set up video clip and shared with the students in a website or social networking (Bergmann and Sams, 2012). Bishop and Verleger (2013) define a flipped classroom as "an educational technique that consists of two parts: interactive group learning activities inside the classroom, and direct computer-based individual instruction outside the classroom." Flipped Learning Network provides an excellent definition to what the flipped learning is:

*Flipped Learning is a pedagogical approach in which direct instruction moves from the group learning space to the individual learning space, and the resulting group space is transformed into a dynamic, interactive learning environment where the educator guides students as they apply concepts and engage creatively in the subject matter.* (Flipped Learning Network. 2014)

### **Theoretical Frameworks for The Flipped Learning Model**

According to the limited researchers' review, the key elements of the flipped learning model are built on student-centered learning theories (Bishop, & Verleger, 2013; Hamdan, McKnight, McKnight, & Arfstrom, 2013), which based on constructivist learning theory (Attard, 2010). Constructivism, derived originally from the works of Piaget (1970), Bruner (1962, 1979), Vygotsky (1962, 1978), and Papert (1980, 1993), is both a philosophical and psychological approach based on social cognitivism that assumes that persons, behaviors and environments interact in reciprocal fashion (Schunk, 2012). The major theme behind constructivist theory is that learning is an active process during which learners construct new ideas or concepts based upon their current and past knowledge (Bruner, 2009). Modern theories of learning advocate the constructivist approach to learning, stressing that learning is a distinctive and personal process characterized by individuals developing knowledge and understanding by forming and refining concepts (Dick & Carey, 2001). Learning environments should therefore be provided with multiple knowledge representations and varied cases and context so as to facilitate the exploration of systems, environments and artifacts. Giving learners a sense of ownership over their learning helps them to take responsibility.

According to constructivism theory: learners construct knowledge (rather than acquiring it) individually through their interactions with the environment (including other learners) based on their current as well as prior knowledge, authentic experience, mental structures, and beliefs that are used to interpret objects and events in relation to the context and environment in which learning takes place; the learner is an active processor of information and creator of personal knowledge; instruction is a process of supporting that construction; knowledge is not purely objective; and the instructor's major role is that of a facilitator of learning (Dick & Carey, 2001).

Constructivists put their emphasis on learning rather than instruction implying the need for rich learning environments for students to actively engage with the instructor as well as their peers and construct knowledge. Besides, constructivism

requires the learning environment should be learner-centered (Anderson & Kanuka, 1999). Student-centered learning environment is seen as a major enabling element in constructivism.

Since the common constructivist ground is that learning is the process of learners actively constructing knowledge, traditional instructional methods, such as demonstrating, encouraging memorization and imitation are deemed incompatible with this point of view. Some constructivists propose that people learn most things better by means of participative activities such as writing, computer games, or multimedia composition than through traditional methods of directly teaching content.

Proponents of constructivism point out that education has been biased towards objectivism, treating learners as passive vessels into which knowledge is poured (Glaserfeld, 1989; Jonassen, 1991; Biggs, 1996; Dick & Carey, 2001; Bruner, 2009). However, instructors should take the role of coaches, facilitators, or even partners, with learners. It follows, as has been stated, that the goal of instructors should be the creation of environments that facilitate the construction of knowledge.

### Flip Pillars

According to Hamdan, McKnight, McKnight, and Arfstrom (2013), flipped classroom must include the four pillars of flipped learning identified as the "four pillars of F-L-I-P", which are: Flexible Environment, Learning Culture, Intentional Content, and Professional Educator.

Flexible learning environments: where classroom or teaching space can be adapted and students choose when and where they learn, Teaching should be adapted to accommodate the specific needs of each learner. Instructors are also flexible in their expectations of student timelines for learning and how students are assessed.

A shift in learning culture: where "students move from being the product of teaching to the center of learning." The instructor no longer transmits information but rather facilitates and coaches students to explore topic in greater depth. They are supporters rather than educators. They provide an environment in which the learner feels valued and in receipt of learning which will be of benefits not only in the classroom context, but also in their lives outside of the classroom.

Intentional content: Instructors evaluate what they need to teach and what materials student should explore on their own outside of the classroom. They also decide on the methods of teaching and learning.

Professional educators: skill professional educators have the responsibility of setting the stage for successful learning. They "must determine when and how to shift direct instruction from the group to the individual learning space, and how to maximize the face-to-face time between instructors and students".

### Instructional Design Model Phases

The instructional design model phases (Figure 1) presented here is based on the ADDIE model. The process begins with planning, followed by programming, and then Coaching. Evaluating occur continually throughout the process and act as valuable mechanisms for monitoring progress and identifying achievement. At each stage of the process, instructors base their decisions on the requirements of the course curriculum, and, equally importantly, on their students' needs.

The diagram below shows the process of Planning, Programming, Coaching, and Evaluating. The steps will be described in sequence below.

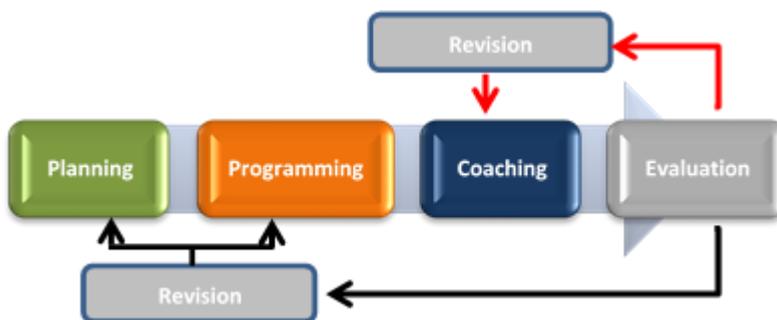


Figure 1: Instructional design model Phases

## Planning Phase

Effective instructions don't come together by accident. They require planning and analysis. You'll produce the best instructional design if you first analyze two important areas, see [Figure. 2]:

The analysis of learner characteristics.

The analysis of learning context

### ***The analysis of learner characteristics :***

One of the main focuses of flipped learning is the idea of individualized learning. "Flipped learning as its core, is individualized learning" (Bergmann and Sams ,2014:7). In order for there to be a chance of that happening, it's important to know who your learners are. Remember that we are not teaching to groups, but to groups of individuals. In addition to general characteristics such as age, grade level, and topic being studied, we should be able to describe our learners in terms of these characteristics as Dick and Carey (2001) pointed out:

**Entry Behaviors:** These are skills associated with learning the goal that must already be mastered. What should learners already know how to do in order to be successful with the new instruction? In the last lesson we determined specific entry behaviors related to our goal, but there may also be some general entry behaviors that were overlooked in the instructional analysis yet would be useful to mention at this point.

**Prior Knowledge of the Topic Area:** What must learners already know about the topic?

**Attitudes toward Content and Potential Delivery System:** What are the learners' impressions and attitudes about a topic and how it might be delivered? In other words, will they have any preconceived notions about the topic or the delivery system?

**Academic Motivation:** How motivated are learners to learn the topic, and how much is it likely to interest them? we might want to ask potential learners these questions :

How relevant is the instructional goal to you ?

What aspects of the goal interest you most ?

How confident are you that you could successfully perform the goal ?

How satisfying would it be to you to be able to perform the goal?

**Educational and Ability Levels:** What are the achievements and general ability levels of the learners? This helps determine the kinds of instructional experiences they may have had and their ability to cope with new and different approaches to instruction.

**General Learning Preferences:** What types of learning approaches do the learners prefer? For example, lecture, seminar, case study, small-group, or web-based?

**Attitudes toward Educational institutions:** How do the learners feel about their educational institutions? Do they have a positive view of management, instructors and peers, or are they cynical about them? With instructors, we may already know our students' attitudes about school, but keep in mind that some students actually like school, while others may hate it. It's important to know which kind of students we will be interacting with.

**Group Characteristics:** Is there heterogeneity within the target population? If so, we want to make sure to accommodate any diversity. Also, get a general overall impression of the target population based on interactions with them .

That may seem like a lot of information to collect about our learners, but it can aid us immensely in providing more meaningful learning experiences for the learners. Some of it we may already know, but much of it should be culled by talking with learners, Colleagues, and parents. Other helpful methods include surveys, questionnaires, and pretests. Collecting this type of data may be much easier if we are instructor with a long experience, as we are already immersed in the environment, and thus may already know many of the students we will be teaching. However, don't immediately assume that we know the answers to these questions .

The list of learner characteristics we end up with will be used throughout the remainder of the instructional design process to make decisions regarding the various steps. It will help us determine the objectives (next step), as well as play a major role in the instructional strategies we employ later on .

***The analysis of learning context involves two steps:***

*Determining Instructional Needs :*

Dick and Carey (2001) state that "Perhaps the most critical event in the instructional design process is identifying goals" (Dick and Carey, 2001, p.17). Before establishing the instructional goals, instructors must analyze the learning environment and reflect on what has been done previously to identify the areas that should receive special emphasis in the course. The process, which is called "learners needs" or "needs analysis", consists of identifying the topics to be included, determining what it is that learners need to know, and data regarding student performance. Instructional goals are ideally to be derived through this analysis procedure .

For instructors needs analysis is often informal but is nevertheless very important. Such needs analysis can be directed at determining :

What are the major topics to be covered ;

What portion of curriculum involves learning tasks that students had difficulty in learning and for which no readily available instructional solution exists; and

Which learning tasks, therefore, needs to be designed, modified or redesigned ?

Needs analysis should also indicate whether there were learning goals that were not being reached previously. Such goals should then be candidates for the development of instruction. It should identify the areas of instruction that were not appealing, motivating, interesting and relevant to learners. These areas again should be considered for revision of the current instruction or instructional materials/tasks .

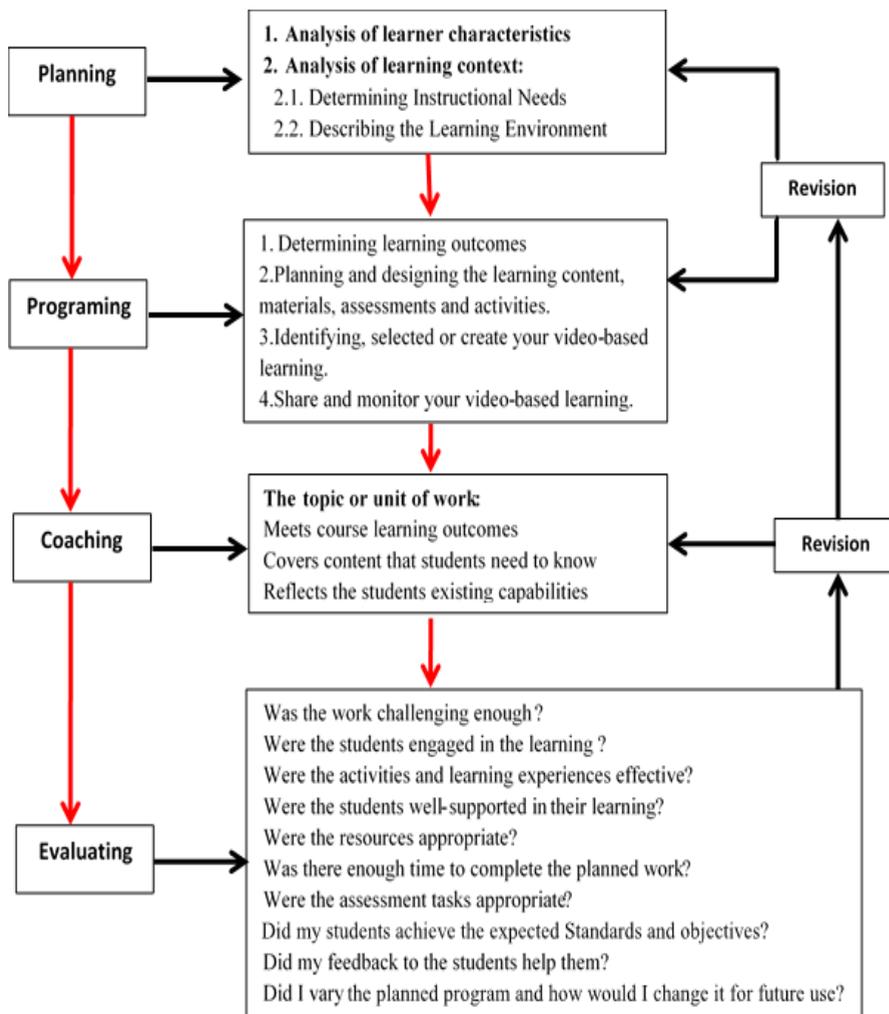
*Describing the Learning Environment*

By knowing a little bit about our learners we can better arrange the environment to increase the probability of individual student learning. The primary task of this analysis is to think about the environment in which the instruction will take place. It should enable us to analyze all factors that affect and are affected by the instruction that we will provide .

It is always wise to consider, beyond the classroom, the larger learning system into which the classroom environment belongs. The characteristics of the school and the community in which the instruction will take place are critical for the success of the implementation of our instruction .

It is important that instructors support each other and share their expertise, information and ideas throughout the teaching-learning cycle. Instructors also need access to a range of resources, ideas and solutions as they work through the process of planning.

Planning takes time and involves detailed discussion, evaluation and review. It is important that schools make this time available to instructors. Planning is done both within learning area groups and across learning area groups, and across learning areas and grades. This whole-school approach ensures that teaching ideas and classroom experiences are shared and available to everyone when the programs and units of work are being developed. A whole school approach also develops good organizational practices and a thorough knowledge of the school Curriculum across learning areas.



**Figure 2:** Instructional design model processes

### Programming Phase

The Programming phase deals with learning outcomes, identifying the content, exercises, assessment strategies, learning activities and delivery mode. The Programming phase should be systematic and specific, see [Figure.2].

At the start of Programming phase, the instructor should have a pretty good idea of what the learners/students will already know when they start the course (through a learner analysis). The instructor should also know what learners will need to learn during the course (learning outcomes).

How do you create a course that helps student move from what they already know and gain mastery of the new material? That's the question that the Programming phase process answers .

Steps in the Programming Phase:

There are basically four steps in Programming phase :

Determining learning outcomes

Planning and designing the learning content, materials, assessments and activities.

Identifying, selected or create your video-based learning.

Share and monitor your video-based learning.

### ***Determining learning outcomes :***

During the planning phase (a learner analysis), the instructor examines the learners' /students' current knowledge and capabilities. What do the students already know and have the ability to do? The instructor uses the information from the learner analysis to create a unit of work or a topic that focuses on students' actual needs.

We want a unit of work that challenges but doesn't overwhelm our students. If we don't take time to study the learners/students and their contexts, we could make a unit of work that bores students because it's too basic. We could also create a course that's impossibly difficult for a group of students —because it might assume that students know more than they really do. It is not only important to know what material we're going to teach, but also what our students need to be taught. Describe what the students will be able to do after having learnt this topic (i.e. learning outcomes and tasks they can do/perform) and list the relevant key/foundational concepts.

### ***Planning and designing the learning contents, assessments and activities.***

Learning activities are used in education because they facilitate effective communication, especially if it's educational technology tools (Danielson, 2011). They help learners to process and retain what they learn, as well as enhancing the instructor's credibility. Therefore, they should be simple, clear, active and professional. The learning contents or video-based learning used by instructor must enhance the learning, not replace it or distract from it. You must consider the topic, why you are flipping it, how this topic relates to capabilities that count? Identify established misconceptions around this topic and address these in the pre class activities and make links with assessment explicit.

Well-designed learning contents shorten coaching time and increase comprehension substantially. They can increase participation of learners, and facilitate group consensus.

### ***Identifying, selected or create your video-based learning:***

Technology must be used to improve the efficiency and effectiveness of the learning delivery process. This may be quite a change from traditional teaching procedure adopted by instructors. Individual and articulate vendors will make pitches for their own particular product, many of whom have contributed to the revolutionizing of IT teaching and training. Instructors must start by asking themselves a series of questions about technology and pedagogy: Will they make their own videos, curate others' material, or a combination of the two? (Bergmann, Sams 2012). There are plenty of good, educational videos from websites such as TED-Ed and Khan Academy, and online course sites such as edX, courser, and Alison allow you to get your students in. But, to achieve truly comprehensive educational goals, instructors must take the advantage of educational technology on the market. This means that instructors will have to create their own video-based learning, according to the learning outcomes and the topic that they cover. I absolutely agree with Babiker (2015) when he stated that: "Teachers must and need as educator to create their own multimedia applications if they really want to make use of the multimedia applications as an effective tool in education. When teachers create their own video-based learning they must remember to keep the lower-order things on Bloom's taxonomy to the videos and the higher-order things in class. (Bergmann, Sam 2012).

### ***Plan, share and monitor your video-based learning:***

In this step you have to plan how you are going to share your video, if you have a learning management system. All you need to do is upload the video and then add your students to the course. Another way is to create YouTube channel and upload it in. You can then monitor the activity to make sure everyone is logging in to view the material. You won't be able to monitor all student activity in real time from the learning management system or any other delivery media you choose, so you should set-up a mechanism that confirms the student has viewed the content. A simple end-of-lecture quiz (the points of which will be added to the activity), is a good place to start. This will also make it possible for you to deliver on the next step more effectively.

## Coaching Phase

Gagne described instruction as asset of events external to the learner design to support the internal process of learning (Gagne, 1985). Smaldino state that "instruction is the arrangement of information and the environment to facilitate learning. This may be done by the learner or the instructor" (Smaldino, 2005). The learning styles of the learners must be taken into consideration in the Coaching Phase. Learning styles include the way a person perceives the world and new information, their unique experiences and the motivation they have for learning a particular topic (Gulid & Garger, 1998; Fralick, 2011). It does not necessitate the design of customized topic for every learner, but it does require that every learner is accommodated and their learning needs catered for. The requirement for measurable results can only be met in this scenario. Only when instructor knows the base line can they judge what they have accomplished.

Research has shown that, the more involved and interested students are in what they are doing, the more they learn. Using learning strategies in which our students are 'saying and doing' improves their learning enormously (Smaldino, 2005), (Gulid & Garger, 1998; Fralick, 2011), (Danielson, 2011). When we stand out the front of a room and lecture, our students' learning is far less effective, especially where this is our 'normal' teaching method.

The learning strategies we choose are important in ensuring that students are challenged and enjoy learning. They enjoy learning when that learning is relevant to them. They are also more likely to be challenged and engaged if they are actively involved in the learning activity. Tsai et al. (2015) state that "Flipped learning helps instructors move away from direct instruction as their primary teaching tool toward a more student-centered approach" (Tsai, et al., 2015, p.174). It is the learner who does the learning. Instructors can, of course, guide the process, but student develop understanding through what they do (Danielson, 2011).

In the 21st century instructors are facilitators of student learning and creators of productive classroom environments, the instructor acts as a coach when students are involved in project work or self-study. The instructor provides advice and guidance and helps students clarify ideas and limit tasks (Danielson, 2011).

Here are just some steps the instructor may use it during the coaching phase:

Set up the physical space to accommodate group based learning and organize learning resources

review student responses to the video, at the start of the class

Select the relevant concepts, related content and group learning activities e.g., case studies, flow charts, role play, quizzes, posters, which require students to apply and analyze the core concepts covered in the video

Support the class activities with planned mini lectures that introduce and/or summarize more complex concepts

clarify remaining learning issues

deliver classroom learning activities and mini lectures as needed and 'time on task' - monitor allocated time dedicated to each classroom activity Summarize the learning segments by reviewing the learning outcomes.

But even more important than the coaching methods chosen is the attitude of the instructor which must emphatically be to promote independence among learners so that they can figure thing out for themselves when he is no longer available. In order to do this effectively, we as instructor must make the learner active in the learning process. We provide basic information, the concepts, the vocabulary and the skills, and then make the learner do the work! Ask more questions than we answer, and encourage them to answer their questions by progressing logically from the information and the skills we have delivered to them in the programming phase, and by using the resources (handouts, recorded video, web sites etc.). The rule of thumb is don't tell them how to do something, ask them how to do it.

## Evaluation Phase

This ID Process stresses the concept that good program requires planning, programming, review, and revision. Each of the three ID phases provides review checkpoints that allow the instructors to evaluate the work that has been produced so far . The ID evaluation phase can produce pretty graphs and metrics, but that's not its main purpose. The evaluation phase measures the program's efficacy and make sure that the students achieve the expected learning outcomes.

Mary Thorpe (1988) see evaluation as "the collection, analysis and interpretation on information about any aspect of a program of education and training, as part of a recognized process of judging its effectiveness, its efficiency and any other

outcomes it may have" (Thorpe, 1988, p.5). Evaluation must be seen as an ongoing process that is initiated in the earliest stages of program planning and continued beyond program completion.

Each the instructional course should be accompanied by a well-designed evaluation plan for determining its effectiveness. Because of the complexity of current changes in education, this plan should extend over time in order to describe and give value to the interrelationship of individual change and systemic change in education. The development of the evaluation strategy should commence at the beginning of the planning process for each the instructional course.

As a preliminary step, evaluators determine the purposes of the evaluation. After the purposes of the evaluation are determined, the evaluators can plan the evaluation itself. The evaluation design should be based on the intended outcomes of the institutions-improvement effort. The evaluators can ensure the quality of the instructional system design process by asking questions that focus on the value of the program in achieving institutions -improvement goals and critiquing it with a short-term evaluation questions checklist.

### **Evaluation Questions**

During the evaluation phase, the instructor measures how well the program, practices and strategies achieved its goals. Here are just some of the questions that might be explored during the evaluation phase .

Did the activities and learning experiences cater for the needs, ability levels and interests of all students ?

Was the work challenging enough ?

Were the students engaged in the learning ?

Were the activities and learning experiences effective?

Were the students well-supported in their learning?

Were the delivery media appropriate?

Was there enough time to complete the planned work?

Were the assessment tasks appropriate?

Did my students achieve the expected outcomes?

Did my feedback to the students help them?

Did I vary the planned program and how would I change it for future use?

For some questions, it's fairly easy to collect information. You can find out students' opinions of the program through a short survey immediately after the class. A pre-test and post-test can measure how well students achieved the learning objectives .

### **Summary & Conclusion**

Instruction must be appropriate, and meet the needs of its target group, and it must be seen to be justified in terms of return on investment. In other words, it must be effective in changing the way students do thing so that efficiency and productive are improved. In my view, traditional lecturing methods in higher education institutions - needs to change in the near future. Some experts say it is too late to begin the changes, as we need new competencies in instructors right now. However, if our instruction methods remain practical, flexible and learner-centered, there is a hope that the next generation of learners will get the support and skills they need in their future life.

Flipped learning model appoints to increase motivation toward learning process, mimic reality and are consistent with its requirements, bringing this generation need to harness technology, to add excitement, suspense and curiosity for the multiple elements of the curriculum materials, classroom learning environment, and effective means of communication between the instructor and the learner and meet the individual and specific needs of each student. The flipped learning model meets the needs of learners in the 21st century, and facilitates a learning experience that equips learners with the necessary skills and attitudes for the 21st century. Higher education institutions can therefore justify investment in this delivery mode. It's possible for someone to record a lectures in a video clips without following this instructional design methodology, but there's a much higher degree of risk. The lectures could have the wrong focus, confuse or frustrate the

students, or even lack critical content. So, if the course has been developed without planning or programming, then all you can do is hope that the course will go well.

This Instructional design model provides a systematic methodology to plan, and program the unit of work or a course before it launches. If we follow this ID Process, we'll have a high degree of confidence about the course when it's ready to launch.

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## Spatial Variability of Soil Aggregate Stability in a Disturbed River Watershed

Zachary Gichuru Mainuri

Egerton University, Department of Crops, Horticulture and Soils, Egerton, Kenya.

James Odhiambo. Owino

Prestige Point, Colorado Springs, CO 80906, USA.

### Abstract

Analysis of spatial distribution of soil properties like soil aggregate stability presents an important outset for precision agriculture. The study area was classified into different landscape units according to physiographic features namely: mountains, plateaus, uplands, valleys, pen plains, alluvial plains, lacustrine plains and hills and maps were drawn. The objectives of this study were to evaluate the effects of landscape and land use interaction on the spatial variability of aggregate stability. The variability of aggregate stability exhibited spatial dependence (SDP) which helped in the generation of a spatial dependence index (SDI) that was described using semivariogram models.  $SPD_{Gaussian}(\%) \leq 25\%$  gave a weak spatial dependence, moderate spatial dependence was given by  $25\% < SDP(\%) \leq 75\%$  and strong spatial dependence by  $SDP(\%) > 75\%$ , while  $SDI_{Gaussian}(\%) \leq 25\%$  gave a strong spatial dependence index while moderate spatial dependence index was indicated by  $25\% < SDI(\%) \leq 75\%$ , and weak spatial dependence index  $SDI(\%) > 75\%$ . Mean Weight Diameters (MWD) of 0.25 – 0.45 represented unstable soils mostly found in wetlands occurring in valleys, mountains, plains, and depressions in hills, 0.55 – 0.62 represented moderately stable soils mostly in agricultural and grassland areas which include plateaus, uplands, and plains, while 0.62 – 0.92 represented stable and very stable soils being found in forested areas, mountains and hills. Various interpolation (kriging) techniques capitalized on the spatial correlation between observations to predict attribute values at unsampled locations using information related to one or several attributes that helped in the construction of an aggregate stability prediction map using Empirical Bayesian kriging (EBK) technique.

**Keywords:** land scape, Spatial Variability, semivariogram, Geostatitics, aggregate stability, kriging

### 1. Introduction

Spatial distribution of soil properties, techniques such as classical statistics and Geostatitics have been widely applied (Webster and .Oliver, 1990, Wang et al 2009). Geostatitics provides the basis for the interpolation and interpretation of the spatial variability of soil properties (Webster, 1985, Pohlmann, 1993, Cambardella et al, 1994). Information on the spatial variability of soil properties leads to better management decisions aimed at correcting problems and at least maintaining productivity and sustainability of the soils and thus increasing the precision of farming practices (Schimel et al, 2000, Ozgözü, 2009). A better understanding of the spatial variability of soil properties would enable refining agricultural management practices by identifying sites where remediation and management are needed. This promotes sustainable soil and land use and also provides a valuable base against which subsequent future studies can be proposed (Cambardella et al, 1994)

Aggregate stability has been studied extensively since the early 19<sup>th</sup> century (Yoder, 1936). This sustained interest shows that aggregate stability plays a central role in the behavior of soils and that its role is still not clearly understood. However opportunities arising from spatial dependence of soil properties can be exploited to explain the role of aggregate stability in the behavior of soils. So far a few studies have shown that spatial dependence of soil properties influence weed distribution (Gaston et al., 2001), crop yield (Cassel et al., 2000) and can explain the spatially variable safe sites concept (Zanin et al., 1998).

Several authors have studied the spatial distribution of soil properties like particle size, organic matter, pH and soil microbial activity at different scales ranging from a few meters (Gajem *et al.*, 1981) to several kilometers (Ovalles and Collins, 1988).

Among the various soil properties hydraulic conductivity ( $K_s$ ) is reported to have the highest statistical variability (Bigger and Nielsen, 1976). It is evident now that spatial variability of soil properties are scale dependent especially those related to water transport in the soils (Iqbal et al., 2005).

Indeed within the last two decades spatial variability has been studied using technologies such as remote sensing (Viscarra-Rossell and McBratney, 1997) and geographical information systems (Mulla and Schepers, 1997). These technologies have been developed to help land users better manage land resources utilizing spatially varying prescription intensities (Stafford, 1997; Cassel et al., 2000). Soil management practices associated with various land uses may modify the soil behavior for example through additions or withdrawal of organic matter and compaction thereby profoundly altering spatial variability of aggregate stability. Stutter et al., (2004) studied the spatial variability and variance structure of cation exchange chemistry in a granitic, hither moorland site in Northwest Scotland. Their results showed strongly significant short-range vertical and lateral variability. Soil properties vary spatially from a field to a larger regional scale affected by both intrinsic (soil forming factors) and extrinsic factors (soil management practices, fertilization, and crop rotation) (Cambardella and Karlen, 1999). The variation is a gradual change in soil properties as a function of landforms, geomorphic elements, soil forming factors and soil management (Buol et al., 1997). The variation of soil properties should be monitored and quantified to understand the effects of land use and management systems on soils. Geostatistical methods like kriging have been used successfully for predicting spatial variability of soil properties (Trangmar et al. 1985; Gaston et al., 2001; Cambardella et al., 1994; Saldana et al., 1998; Zebarth et al., 2002; Lark, 2002; Dercon et al., 2003).

Kriging uses a semivariogram which is a function of the distance and direction separating two locations—to quantify the spatial dependence in the data. A semivariogram is constructed by calculating half the average squared difference of the values of all the pairs of measurements at locations separated by a given distance  $h$ . The semivariogram is plotted on the  $y$  axis against the separation distance  $h$ . This semivariogram model is then used to define the weights that determine the contribution of each observed data point to the prediction of new values at unsampled locations. There are some statistical assumptions behind kriging. The main assumption is stationarity (spatial homogeneity). If data is stationary, the data mean and the semivariogram are the same at all locations in the data extent. If this assumption is held, just a few kriging model parameters have to be estimated from the data. Indeed it can be concluded from the literature that most soil properties have short-range spatial structure extending only tens of meters and that long-range spatial structure is doubtful (Campbell, 1978; Trangmar et al., 1986; Gaston et al., 2001; Iqbal et al., 2005).

The study sought to establish that land use and Landscape interactions had influence on the spatial variability of aggregate stability within the watershed.

## 2.0 Materials and Methods

### 2.1 Location and environmental conditions of the study area

The Middle river Njoro catchment is located in Nakuru County within the Kenyan part of the East African Rift System. It lies between longitudes 35° 05'E and 36° 05'E, and latitudes 0° 15'S and 0° 25'S. The catchment covers about 8,200 ha and is located about 200km North West of Nairobi in Nakuru County. The catchments lie between altitudes 1720m above sea level (asl) and 3000m asl (Figure 1). The sub watershed has slopes in the range of less than 2% to more than 30 %.( Figure 2). The river has its source from Mau escarpment and drains into Lake Nakuru (Mainuri and Owino, 2014).

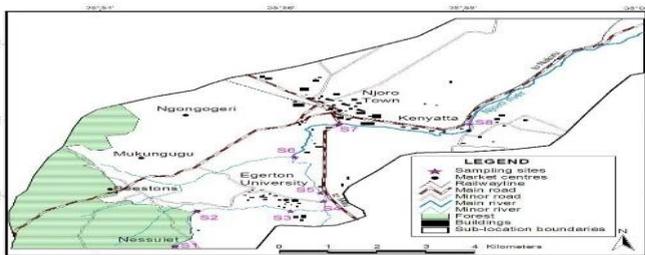


Figure 1: Study Area (Source: Mainuri and Owino, 2014)

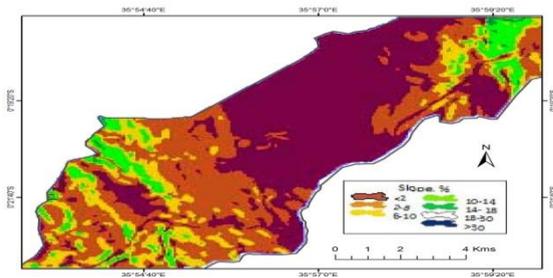


Figure 2: Slope Map

## 2.2 Methods

### 2.2.1: Soil Mapping

The study area was classified into six (6) different landscape units according to physiographic features namely: mountains, plateaus, uplands, valleys, peneplains, alluvial plains, lacustrine plains and hills (Figure 3).

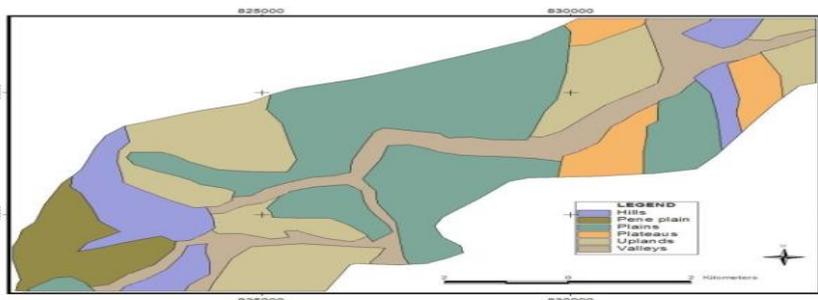


Figure 3: Physiographic Map of the Middle River Njoro Watershed

The selection of profile pits for sampling was based on the physiographic units and positions for the pits selected at random. Soil classification was done according to FAO/UNESCO (1997).

### 2.2.2 Determination of Aggregate Stability

Soil aggregate analysis was done following the wet sieving technique of Yoder 1936 with the help of a nest of six sieves (5, 2, 1, 0.5, 0.25, and 0.1 mm). Soil aggregates (>5.0–8.0 mm) were spread on the top sieve and soaked with salt-free water twice at the interval of 5 min. The nest of sieves were then submerged under water and oscillated at 35 cycles/minutes. The aggregates on each sieve was collected, oven-dried, and weighed. The aggregates were treated with H<sub>2</sub>O<sub>2</sub> and HCl and passed through the same sieve and the weights of non aggregated primary particles were taken after oven drying. Soil aggregate stability was expressed in terms of mean weight diameter (MWD) in millimeters, defined as the sum of the product of the mean diameter, Xi, and the total sample weight, Wi, of each size fraction ( $MWD = \sum Xi Wi$ ).

### 2.2.3 Mapping Aggregate Stability

Analysis of spatial variability of soil aggregate stability within the Middle River Njoro watershed was done using two geostatistical methods: (i) investigating spatial autocorrelation in the datasets using a semivariogram/covariance cloud (Cressie, 1985; Cressie, 1988), and (ii) prediction of attribute values at unsampled locations using a generalized linear regression technique called Empirical Bayesian kriging. The structure of spatial variance between aggregate stability observations was derived from the sample semivariogram

### 2.2.4 The Semivariogram

A spatial layer of the soil sampling sites with the respective soil aggregate stability was composed using ArcGIS software. The spatial sampling site layer was input as the source of data and the soil aggregate stability as the data field. To explore

and quantify the spatial autocorrelation of the soil sampling sites, geostatistical wizard functionality within ArcGIS was used (Isaaks *et. al.* 1989; Journel and Huijbregts, 1978; Stein, 1999). Empirical Bayesian Kriging linear regression technique was used to generate a soil aggregate stability prediction map

### 3.0 Results and Discussions

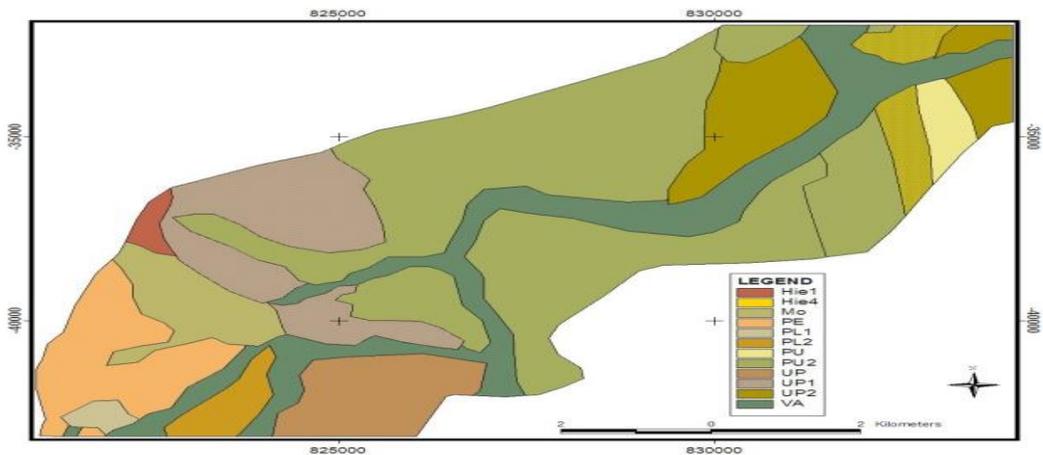
#### 3.1: Soil Mapping

The soils in the catchments were distinguished on the basis of Physiographic, parent material/ geology and soil characteristics. Six major physiographic units, mountains, hills, plateaus, uplands, plains and valleys (Figure 3) were identified in the area. Mountains (Mo) and major scarps have slopes greater than 30% (Forests). The soils of this geomorphic unit are developed on volcanic ashes and other pyroclastic rocks of recent volcanoes with stable to very stable structures. Hills (Hie) and minor scarps (Forests) have slopes which are greater than 16% with stable structures. The soils of this geomorphic unit are developed on ashes and other pyroclastic rocks of recent volcanoes. The plateaus (PU) (Agriculture and grasslands) are undulating with slopes of between 5 – 8%. The soils are developed on ashes and other pyroclastic rocks of recent volcanoes with moderately stable structure. The uplands (UP) (agriculture, grasslands and minor forests) are undulating with slopes of between 5 – 8%. The soils which are moderately stable are developed on volcanic ashes and other pyroclastic rocks of recent volcanoes.

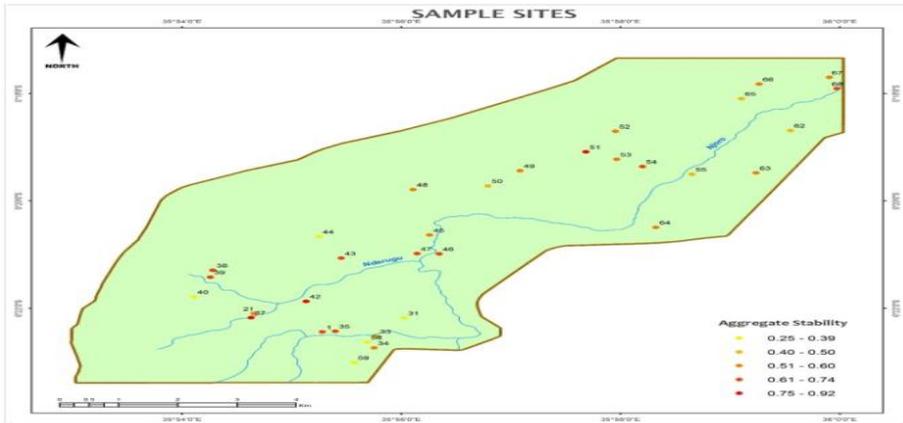
**Figure 3: Soil Mapping Units**

The plains (PL) (grasslands and agriculture) are flat to very gently undulating in relief with moderately stable structures and slopes of between 0 – 2%. The soils of this unit are well drained, deep to very deep. Soils of Valleys (VA) (grasslands, agriculture and wetlands) are well drained to imperfectly drained, moderately deep to deep and unstable. As observed from the results, the landscapes where most agricultural activities take place are dominated by soils that have structures that range from moderately stable to unstable making them quite susceptible to soil erosion.

#### 3.2 Mapping Aggregate Stability Using Empirical Bayesian Kriging (EBK)

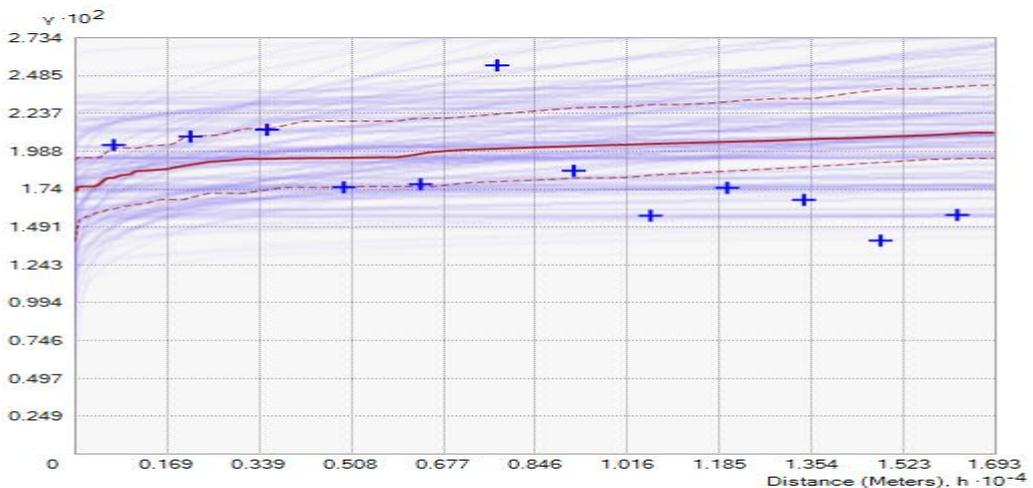


The selection of sampling sites was based on the physiographic units and sampling points for aggregate stability determination selected at random Figure 4.



**Figure 4: Sampling Sites for Aggregate Stability showing Aggregate stability values**

The Empirical Bayesian Kriging (EBK) was used to build a valid kriging model due to its ability to interpolate and automate the most difficult aspects of building a valid model (Figure 5). Other kriging methods in Geostatistical Analysis require somebody to manually adjust parameters to receive accurate results, but EBK automatically calculates these parameters through a process of sub setting and simulations. Empirical Bayesian kriging also differs from other kriging methods because it accounts for the error introduced by estimating the underlying semivariogram. By not taking the uncertainty of semivariogram estimation into account, other kriging methods underestimate the standard errors of prediction. EBK differs from other kriging methods in Geostatistical Analyst by using an intrinsic random function as the kriging model. The variability of aggregate stability exhibited spatial dependence that was described using semivariogram models. The degree of spatial dependence for each variable was determined with geostatistical methods using semivariogram analysis and kriging.



**Figure 5: The spectrum of the semivariogram models produced by EBK.**

The semivariogram for aggregate stability analysis consisted of three basic parameters which described the spatial structures  $\gamma(h) = C_0 + C$ .  $C_0$  represented the *nugget effect*, which was the local variation occurring at scales finer than the sampling interval, such as sampling error, fine-scale spatial variability, and measurement error;  $C_0 + C$  is the *sill* (total variance); and the distance at which semivariogram levels off at the sill which was called the *range* (beyond that distance the sampling variables were not correlated). The variability of aggregate stability exhibited spatial dependence that was described using acceptable or licit semivariogram models which included Spherical, Exponential, Gaussian and Power

models. Each semivariogram had advantages and disadvantages. When choosing a semivariogram therefore, the calculation time and the flexibility of the model (the ability to accurately accommodate a broad range of datasets) was taken into account. The spherical model (Figure 6A) is very fast but the least flexible and actually reaches the specified sill value,  $c$ , at the specified range,  $a$ . The exponential model (Figure 6B) offers a flexible transformation which is faster but the shape of the semivariogram is not flexible. It is slow compared to Power and spherical models. The Gaussian model (Figure 6C) approaches the sill asymptotically, with  $a$  representing the practical range which is the distance at which the semi variance reaches 95% of the sill value. The Gaussian model, with its parabolic behavior at the origin, represented the very smoothly varying properties of aggregate stability (However, using the Gaussian model alone without a nugget effect can lead to numerical instabilities in the kriging process.) The spherical and exponential models exhibited linear behavior at origin, which was appropriate for representing these properties which had a higher level of short-range variability. Models with a finite sill, like the Gaussian, exponential, and spherical, are referred to as *transition* models and have corresponding covariance functions. The power model (Figure 6D), however, does not reach a finite sill and does not have a corresponding covariance function.

The Gaussian model (Figure 6C) was selected for fitting the data onto the semivariogram as it had a Standard Mean which was most nearest to zero, the smallest root-mean-squared prediction error, the smallest difference between the Average Standard Error (ASE) and Root Mean Squared (RMS), and a Standardized Root Mean Squared (SRMS) prediction nearest to one as recommended by ESRI, 2007. The calculations leading to the choice of Gaussian Model is shown in Table 1.

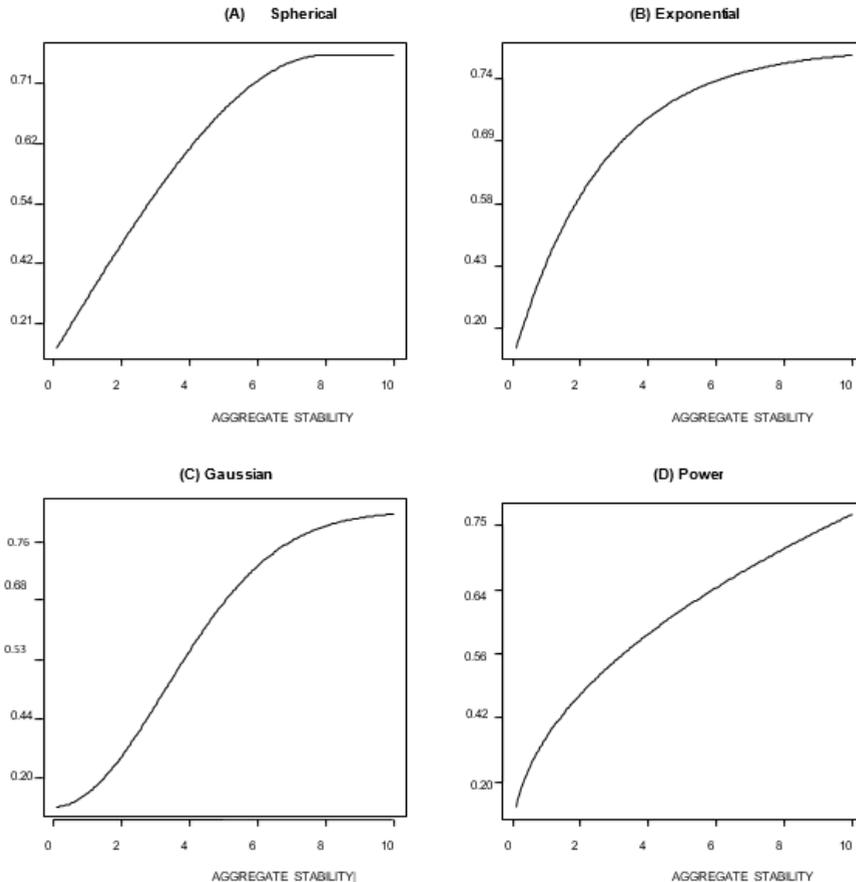
**Table 1 Parametric Comparison of the various Semivariogram model**

	Mean	Root-Mean-Squared [RMS]	Average Standard Error [ASE]	ASE-RMS	Mean Standardized	Root-Mean-Square Standardized
Circular	-0.6075	13.52	13.71	0.19	-0.03936	0.9925
Spherical	-0.4487	13.57	13.69	0.12	-0.02833	0.9976
Tetraspherical	-0.4333	13.62	13.74	0.12	-0.02732	0.9969
Pentaspherical	-0.434	13.89	13.62	-0.27	-0.02677	1.026
Gaussian	-0.4375	13.35	13.71	0.36	-0.02763	0.9812
Exponential	-0.434	13.89	13.62	-0.27	-0.02677	1.026
Rational Quadratic	-0.4303	13.87	13.81	-0.06	-0.02683	1.008
Hole Effect	-0.4674	13.45	14.05	0.6	-0.03032	0.9615
K-bessel	-0.1188	13.75	13.93	0.18	-0.004366	0.9917
J-Bessel	-0.152	13.42	14.18	0.76	-0.008349	0.9514

*The spatial dependence in this Gaussian process can also be used in showing the patterns of ridges and valleys.* The notion of spatial heterogeneity in current spatial statistics is only used to characterize local variance of spatial dependence or regression. The heterogeneity is power law like rather than Gaussian distribution like. With this broad perspective, both spatial dependence and heterogeneity depicted the true picture of the Earth's surface. There are far more small things than large ones across all scales or globally, but things are more or less similar at one scale or locally. Empirical Bayesian kriging (EBK) offered the multiplicative skewing normal score transformation.

The new data was transformed and a new semivariogram model was simultaneously estimated from the simulated data. Predictions and prediction standard errors were made using weights and then back transformed with bias correction. When the data distribution is Gaussian, the best predictor is one that uses a linear combination of the nearby data values. For other distributions, however, the best predictor is often nonlinear and, therefore, more complex. The data can be transformed to follow a Gaussian distribution. Then it is possible to accurately back transform kriging predictions to the

original data scale, which can be done in ArcGIS Geostatistical Analyst. Classical kriging also assumes that the estimated semivariogram is the true semivariogram of the observed data. This means the data was generated from Gaussian distribution with the correlation structure defined by the estimated semivariogram (Figure 6C). This is a very strong assumption, and it rarely holds true in practice. Hence, action should be taken to make the statistical model more realistic.



**Figure 6: Several Semivariogram models being compared to the Gaussian model.**

Spatial modeling to generate empirical semivariogram was computed using the formula below:

$$\gamma(h) = \frac{1}{2N(h)} \left\{ \sum_{i=1}^{N(h)} [Z(x_i + h) - Z(x_i)]^2 \right\}$$

Where  $Z(x_i + h)$  and  $Z(x_i)$  are observation positions at positions  $x_i + h$  and  $x_i$ , respectively,  $h$  is the distance between observations and  $N(h)$  denotes the number of pairs of observations separated by the same lag distance  $h$ . Semivariogram (maximum distance  $h = 0.5 \text{ MD} \times \text{average} [(\text{value at location } i - \text{value at location } j)^2]$ )

The semivariogram for aggregate stability analysis describes the spatial structures:

$$\gamma(h) = C_0 + C.$$

$C_0$  = nugget effect (NE (%))

$C_0 + C =$  the sill (total variance);

$a =$  practical range

$NE (\%) = \left( \frac{C_0}{C_0 + C_1} \right) \times 100$  In which  $C_0$  is the nugget effect and  $C_1$  is the contribution, both semivariogram parameters. According to Cambardella et al. (1994), NE has the following classification: strong spatial dependence ( $NE (\%) \leq 25 \%$ ), moderate spatial dependence ( $25 \% < NE (\%) \leq 75 \%$ ), and weak spatial dependence ( $NE (\%) > 75 \%$ ).

The second traditional index of spatial dependence (SPD), presented in Biondi et al. (1994), is given by the expression:

$SPD (\%) = \left( \frac{C_0}{C_0 + C_1} \right) \times 100$ , in which  $C_0$  is the nugget effect and  $C_1$  is the contribution, both semivariogram parameters like the NE index. Adjusting the classification given by Cambardella et al. (1994), we have the following induced SPD classification: weak spatial dependence ( $SPD (\%) \leq 25 \%$ ), moderate spatial dependence ( $25 \% < SPD (\%) \leq 75 \%$ ), and strong spatial dependence ( $SPD (\%) > 75 \%$ ). We can observe that  $NE (\%) = 100 \% - SPD (\%)$ , that is, NE and SPD essentially provide the same information. Therefore, because of equivalence between the two indexes, in this article we will not regard the NE index as essentially different from the SPD index.

The spatial dependence index (SDI) is given by the following expression for Gaussian model.

$SDI (\text{Gaussian}\%) = 0.504x \left( \frac{C_0}{C_0 + C_1} \right) \times \left( \frac{a}{0.5MD} \right) \times 100$  in which  $C_0$  is the nugget effect,  $C_1$  is the contribution, and  $a$  is the practical range, both semivariogram parameters like the NE and  $0.5MD$  is half of the maximum distance (MD) between sampled points, given that in the cases in which the ratio  $a/0.5MD$  results in a value superior to 1, this ratio is then truncated into 1, in order to assume values only between zero and 1. In addition, the  $0.5MD$  factor is inspired on practical recommendations for using pairs of points up to half of the largest sampling distance in order to estimate semi variances (Journel and Huijbregts, 2003; Olea, 2006). The constant 0.504 or 50.4% (for Gaussian semivariogram) is the value of the model factor (MF) of the model that expresses the strength of the spatial dependence that the model can reach.

A run of the data using EBK model derived the empirical semivariogram/covariance spatial dependence (SDP) model:

$$SDP = 75.153 * \text{Gaussian} (8711.3, 4525.7, 51.8) + 158.48 * \text{Nugget},$$

Where: Nugget = microstructure = Measurement error

Microstructure = 172.6 (100%) and

Measurement error = 0 (0%)

Given that the SPD for the Gaussian exhibit positive asymmetric distribution, it must be categorized having the median and the 3rd quartile as limits (Table 2), in order to have a classification that is more coherent and in fitting with the distribution form. Thus, based on the results above, we propose the following classification for the SPD and SDI Where  $SDI = 100 - SDP$  or  $SDP = 100 - SDI$  giving  $SDI = 25\%$  and  $SDP = 75\%$

$SPD_{\text{Gaussian}} (\%) \leq 25\%$  will therefore, give weak spatial dependence, moderate spatial dependence  $25 \% < SDP (\%) \leq 75\%$  and strong spatial dependence  $SDP (\%) > 75\%$ , while  $SDI_{\text{Gaussian}} (\%) \leq 25\%$  gives a strong spatial dependence index, moderate spatial dependence index  $25 \% < SDI (\%) \leq 75\%$ , and weak spatial dependence index  $SDI (\%) > 75\%$ . The Gaussian semivariogram model has high spatial dependence, with a high MF which led to a wider scope of values. The semivariogram model was used to derive a soil aggregate stability prediction graph illustrated by Figure 7 and a semivariogram model Figure 8.

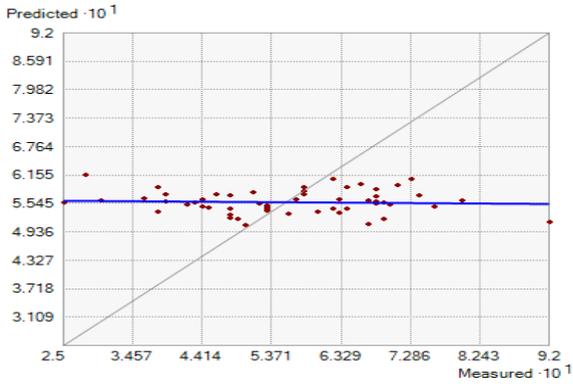


Figure 7: Soil aggregate stability prediction graph

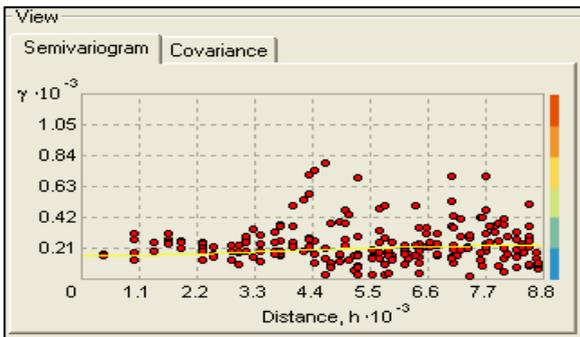


Figure 8: The semivariogram values for the pairs of points (red) and the estimated semivariogram model (yellow line)

The semivariogram models were then used to undertake Empirical kriging to create a prediction map of aggregate stability. A prediction map of the spatial dependence derived from the EBK modeling process is shown in Figure 9 below.

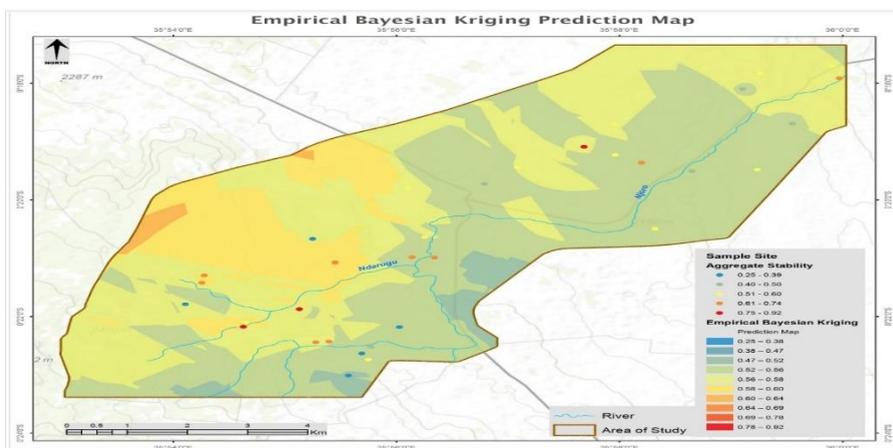


Figure 9: Empirical Bayesian Kriging prediction map with sample values.

In the figure above, the mean weight diameters (MWD) of 0.25 – 0.45 represents unstable soils mostly found in wetlands occurring in valleys, mountains, plains, and depressions in hills, 0.55 – 0.62 represents moderately stable soils mostly in agricultural and grassland areas that include plateaus, uplands, and plains, and while 0.62 – 0.92 represents stable and very stable soils being found in forested areas, mountains and hills.

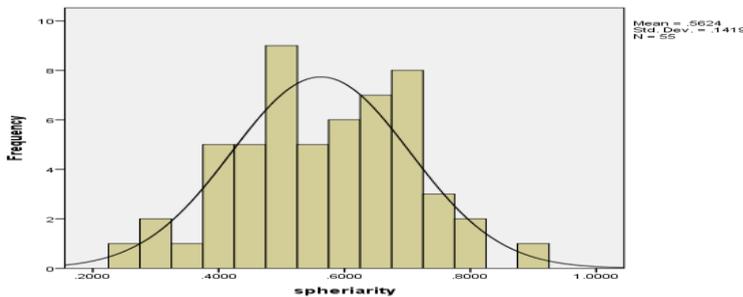
### 3.3: Exploring Data Characteristics

#### 3.3.1: The Histogram

Data was statistically analyzed in two phases: (1) data were described using the classical statistics (mean, mode, median, and standard deviation, coefficient of variation, skewness, and kurtosis); (2) frequency distribution was examined and the test for normality was conducted. Geostatistical methods are optimal when data are normally distributed and stationary that is when mean and variance do not vary significantly in Space as in this case. Significant deviations from normality and stationarity can cause problems, so it is always best to begin by looking at a histogram or similar plot to check for normality and a posting of the data values in space to check for significant trends. Looking at the histogram Figure 10 (with a normal density superimposed) and a normal quantile-quantile plot shows that the aggregate stability distribution does not deviate too severely from normality: Judging from Table 2, the distribution of data is close to normal with an almost zero skew and the mean being equal to the median. Aggregate stability values were collected from 55 sample points distributed throughout the field, which is approximately 8, 000 hectares.

**Table 2: Distribution of Data**

Count	Min	Max	Median	Mean	Std. Dev	Skewness	Kurtosis	1 <sup>st</sup> Quantile	3 <sup>rd</sup> Quantile
55	0.250	0.920	0.560	0.557	0.138	-0.011	2.788	0.465	0.670



**Figure 10: Distribution of Aggregate stability data in Mean Weight Diameter (MWD)**

The determination of aggregate stability through the set of sieves involved the estimation of the amount of intact aggregates against the forces of water entry into aggregates, such as forces related to water entry in soil aggregates. It was generally considered that retention of large aggregates on the top sieve against forces of water entry was indicative of good aggregate stability. Therefore, the aggregate stability of the soil was evaluated as mean weight diameter (MWD) determined by the wet sieving. The MWD of the aggregates was calculated where the number of size fraction = the mean diameter of any particular size range of aggregates separated by sieving = the weight of aggregates in that size range as a fraction of the total dry weight of the sample analyzed. The values ranged from 0.25 to 0.92 MWD. Here are the data values posted at the Sample locations (Figure 11).

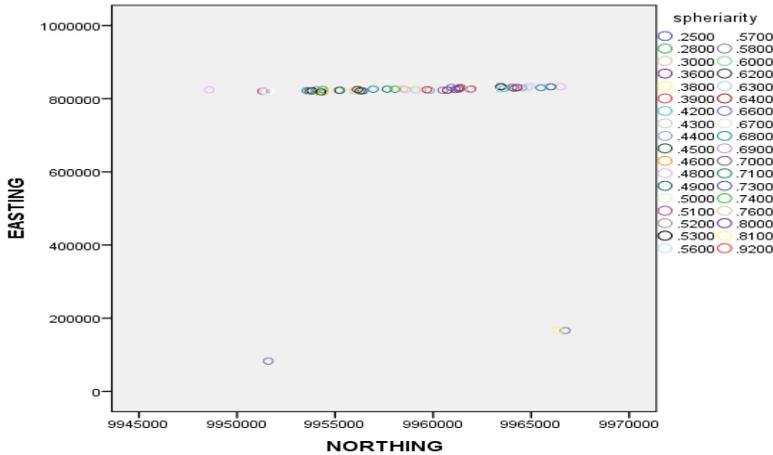


Figure 11: Plotted Aggregate stability values according to their location

### 3.3.2: Normal Quantile - Quantile Plot

The data was subjected to some normality checks with which Quantile - Quantile plot was a major test of normal distribution in the data. The data in this Q-Q plot appear to be normally distributed, because even though there is a slight, possibly curved trend in the plot, the dots are still pretty close enough to the line to not disqualify these data from being normal. The Q-Q plot (Figure 12) looks alright except for one outlier depicted by the point furthest to the right. All geostatistical methods assume spatial dependence that closer things are more similar than things that are farther away. Spatial dependence is "the propensity for nearby locations to influence each other and to possess similar attributes"(Tobler, 1989). In other words, to paraphrase this famous geographer, "while everything is related to everything else, things that are close together tend to be more related than things that are far apart". Terrain elevations and soil types for instance, are more likely to be similar at points few meters apart than at points several kilometers apart.

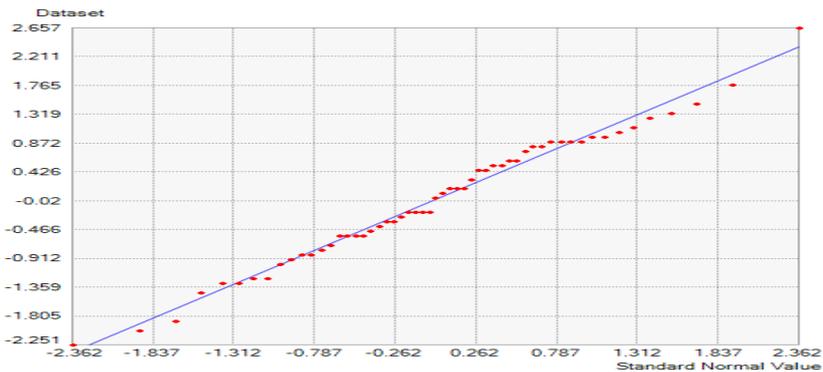


Figure 12: Normal Q-Q plot

Given that geographic data are expensive to create; spatial dependence turns out to be a very useful property. We can sample attributes at a limited number of locations, then estimate the attributes of intermediate locations. The process of estimating unknown values from nearby known values is called interpolation. Interpolated values are reliable only to the extent that the spatial dependence of the phenomenon can be assumed. If we were unable to assume some degree of spatial dependence, it would be impossible to represent continuous geographic phenomena in digital form.

### 4.0 Conclusion

The soils of the geomorphic units of mountains, hills and minor scarps were developed on volcanic ashes and other

pyroclastic rocks of recent volcanoes. They had slopes ranging from 8-30 % and had stable to very stable soil aggregates. The plateaus (PU) (Agriculture and grasslands and the uplands (UP) (agriculture, grasslands and minor forests) were undulating with slopes of between 5 – 8%. The soils which were moderately stable were developed on volcanic ashes and other pyroclastic rocks of recent volcanoes. The plains (PL) (grasslands and agriculture) and Valleys (VA) (grasslands, agriculture and wetlands) were flat to very gently undulating in relief with moderately stable to unstable soil aggregates. They had slopes of between 0 – 2% with well drained, deep, and moderately deep to very deep soils.

The variability of aggregate stability exhibited spatial dependence that was described using semivariogram models. The Gaussian model was selected for fitting the data onto the semivariogram model. The spatial dependence (SPD) for the Gaussian exhibited positive asymmetric distribution giving a strong spatial dependence (SPD) and a strong spatial dependence index (SDI) indicated by  $SPD_{\text{Gaussian}} (\%) > 75\%$  and  $SDI_{\text{Gaussian}} (\%) \leq 25\%$ . The semivariogram models were used to undertake Empirical kriging to create spatial dependence prediction map of aggregate stability. The mean weight diameters (MWD) of 0.25 – 0.45 represented unstable soil aggregates, 0.55 – 0.62 moderately stable soil aggregates and 0.62 – 0.92 representing stable and very stable soil aggregates.

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## Gender and Its Representation in Contemporary Arts

**Asst. Prof. Dr. Nihan Akdemir**

Faculty of Fine Arts and Design, Altinbas University

### Abstract

The concept of gender is an important issue that has been over-emphasized in recent years with an increasing rate of violence against human beings, is perhaps an important issue that needs to be addressed much more. The similarity of the terms, gender and sex, suggests that these two concepts are the same. The elimination of this mistake and the transformation of the position into a conscious awareness are carried out with the awareness of social responsibility with contributions in different disciplines. At this point, an evaluation can be made on art and the social function of art can be mentioned because the art is an important way of communicating collective messages through the artists by their works. In the 20th century, and especially since the second half of the century, the content of art is as important as the aesthetic appreciation and this point can be seen at the art practices which multidisciplinary approaches get to the forefront. In this paper, the way of expression of the concept of gender in contemporary art has been researched through the social function of art. The methods of this work depend on literature and artwork sample researches. And the concept of gender has been primarily addressed. This concept has been studied in terms of art works, disciplines, forms of expression, and works of artists who find meaning and overlap. And the results show that the concept of gender has found its place in contemporary arts.

**Keywords:** Gender, Contemporary Arts, Relation, Art, Artists

### Introduction

Society is a regular combination of self-constituting parts and human is the most important part of this circle. Depending on this point sex takes a big role because of the human biological structure. Modernity in the society provides to query the relationship between sex and society in the content of roles mean gender. So, gender which is the review area of social sciences and sciences such as psychology, sociology, anthropology and biology, is an actual subject of our century.

The semantic and phonetic similarities of the terms male-female and feminine-masculine are dissociated from these similarities in the biological dimension and the social dimension. The concept of gender which is formed within the framework of the difference of these dimensions and which is theoretically expressed first with Freud and psychoanalytic approach has many explanations. There are those who advocate that biologically based differences need to be expressed in terms of sex, sociocultural based differences should be expressed in gender, as well as in the case of differences between men and women (Dökmen, 2016:18). In general frame; the biological aspect of being a woman or a man corresponds to sex, whereas the understanding and expectation of society and culture related to the biological structure of the individual corresponds to the gender. Although scientific investigations have already dealt with this issue in the 1970s, the time it began to focus more on it was after the 90s.

Ann Oakley introduced the concept of gender into sociology with her book *Sex, Gender and Society*, published in 1972 (Pilcher and Whelehan, 2004: 56). At the same time stated that Oakley said "gender is a cultural issue. It marks the social classification of men and women as masculine and feminine" (Bhasin, 2003: 2).

Historically, sociological and psychological studies and researches on the subject have also revealed other sub-concepts and theories such as sex-typing, gender differences, gender discrimination, gender identity, gender roles/social role theory and gender stereotypes associated with the concept of gender. And also all these sub-concepts one by one have become the subject of other disciplines besides sociology additionally to general term of gender.

The multi-disciplined area of our time provides the connections between all disciplines. In this atmosphere different fields can get into relations with each other. Also an art is in the relation with other disciplines not only in forms but also with its

conceptual contents because an art is the part of human, environment, society and life. So the term of gender also takes in place in art especially in the contemporary arts.

According to this point the meaning of gender in contemporary arts has been studied in this article. Firstly, the existence of the concept of gender in the art history has been examined. At the second heading of the study, the works in which the concept of gender has been expressed as the subject matter and the works of art in which gender inquiries have been investigated.

### **Gender in Art History**

This part can be examined under gender difference, gender discrimination and gender role which are the sub-titles of gender and depend on sex differences.

Gender differences mean feminine and masculine those social roles differences between men and women. Being man or woman is biological structure but femininity and masculinity are sociological statues. While the male-female difference is largely characterized as universal, the distinction between femininity and masculinity is culturally determined and highly variable. Biological differences are combined with culturally accepted gender differences, and the prevailing values in the socialization process shape the sexes at the point of femininity and masculinity (Bilton and others, 1983:148). And also this social structure is combined with the gender roles given to the person according to his/her sex. To put it simply; woman should care of her house and man should get money for his family. Girls should be stay at home with her mother and learn how to cook and boys should go outside with his father and learn how to get money. Occupations are separated by sex in social structure. Gender differences stem from the different roles that women and men learn to play or have to play in various organizational structures. And all these situations can be seen also in art history in the frame of woman's presence in the art environment.

The investigations on art history show that because of the prevailing values and also because of the cultural and social structure, the women artists mostly have been devalued in art history<sup>1</sup>. It is seen that most of the studies on this subject have been directed to the situation by interrogating the artistic activities of women who have not been evaluated in the past or have not been evaluated enough in the history, and by extracting the usual misconceptions and evaluations (Tufts 1974, Sutherland and Nochin 1976, Petersen, Karen and Vilson 1976, Bachmann and Piland, 1978, Sherman 1981).

If this issue is tried to be explained by the numbers, the following examples can be given and the situation of female artists is clearly understood. All of the artists mentioned in the book *The History of Art* (E.H.Gombrich, 1984), are male. In Francis Claudon's (1988) "Encyclopedia of Romantic Art", all of the 64 mentioned artists are male, too. In Jean Causso's (1987), "Encyclopedia of Symbolism", the female artist rate is 5%. In Maurice Serullaz's (1983) "Impressionism Art Encyclopedia", the rate of female artists mentioned only reaches 5%. In Lionel Richard's (1991) *The Encyclopedia of Expressionism Art* the percentage of female artists is 6%, in Reni Passerou's (1982) *Surrealism Art Encyclopedia* the percentage of female artists is %8. In Nobert Lynton's (1982) work called *The Story of Modern Art*, all of the artists who are considered to be pioneers, big stars, or stamps of revolution are all male. In the seventh volume of "The book of Art" published in 1985 which reserved for impressionists and post impressionists, only one female artist is mentioned: Marry Cassalt (1844-1926). Even more interesting, the 8th of the same publication is devoted to Modern Art and there is no single female artist (Ulusoy, 1999).

In fact there are so many women artist during the history of art. This is known by the book called "Le Vite Più Eccellenti dei Pittori, Scultori e Architettori" which was published in 1568 by Vassari. It is one of the rare studies that are prepared to deal with the artists of the period in terms of art history. In the first publication of this book in 1550 there were no women artists. But at the second edition of the book (1568), thirteen female artists were featured. Due to this book by Vassari, women artists who lived in the Renaissance period and were accepted for the first time by the society have become able to recognize (Sankir, 2010).

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<sup>1</sup> About this, you can watch the video by Professor Amanda Vickery who journeys from Renaissance Italy to the Dutch Republic and discovers a hidden world of female artistry: *The Story of Women and Art 1-2-3*.

[https://www.youtube.com/watch?v=SCkab-v\\_o3k](https://www.youtube.com/watch?v=SCkab-v_o3k)

We learn the information from this book that Marietta Robusti, who has been named among the artists of his time, is a woman and despite all the negativity of social construction, continues his artistic work and even receives orders from the Spanish palace (Grosenick, 2005: 11).



The other female artist mentioned in that book is Artemisia Gentileschi who was artist Orazio's daughter and studied art at his father's atelier, had trouble history about her life. She was raped by Agostino Tassi, who was held to give perspective lessons by Orazio. This incident has been accused by the court with laxity, and even the size of the harassment has been further enlarged by performing vigilance control in the courtroom. It can be thought that Gentileschi punished the masculine world which she could not punish in real life, by her art as seen in picture 1. (Lapierre, 1998:121, Grosenick, 2005: 11).

Picture 1. Artemisia Gentileschi, Judith and Holofernes, 1620-21, oil on canvas, 162.5 x 199 cm, Uffizi Gallery, Florence  
<https://ka-perseus-images.s3.amazonaws.com/c7c9e80c309a6e17daebdf461c4374ec3ee0aa20.jpg> (20.08.2017)

But until the 1970s, Vassari's effort did not create a chain reaction. In the 1970s, gender-based inquiries peaked and the reasons why women were not involved in the art world were searched. The most important of these researches is the article by Linda Nochlin, published in 1971, "Why is not there a great female artist?" But as seen the number and percent given above, there were no enough interest about women artists and the male-dominated hegemony was still going on even during that times.

At this point some questions can be asked: Where are women artist in any social position or situation? Are women not really active enough in the field of arts? Or maybe this can be explained the word 'Patriarch'. This concept refers to the hierarchy of social relations and the institutions in which men can repress women. The masculine value system dominates art and art history. As in art history, male viewpoint is dominant in science as a whole. So the existence of women, their experiences and the roles they play are either incoherent or misinterpreted (Sherman 1978, Kraus 1967, Kampen 1976, Scully 1969,). Plastic Arts has been seen as a 'proper activity' area suitable for men as it is in many professions. Therefore, for many years, women have been excluded from plastic arts (Ulusoy, 1999). This can be explained with gender role which is a group of sex-related anticipations that the community defines and expects the fulfillment from the individual (Dökmen, 2016:29).

The other point about gender and gender discrimination in art is about the representation of woman that sexual identities or roles attributed to them, in art works. During medieval period and new age generally two main prototypes of the theme were created over women: first the seductive and fallen woman and the second angel mother and spouse with naive, weak image iconographies. The history of 'Samson and Delilah' is an iconographies theme, which was about seductive woman and man who needs to protect himself from her, in painting art as it seen in Ruben's painting at picture 2.



Picture 2. Rubens, 'Samson and Delilah' about 1609-10, oil on canvas, 185 x 205 cm, The National Gallery.  
<https://www.nationalgallery.org.uk/paintings/peter-paul-rubens-samson-and-delilah> (21.8.2017)

When examining the history of painting art, especially in the 16th and 17th century at Northern art, 'Seducer-provocative' woman who carries a sexual proposition is commonly applied at paintings. But on the other hand, paintings during those times reflected a woman as passive, naive, and powerless person in social sense instead of provocative woman representation. As an example Judith Leyster's (1609-1660) who is not very well known female artist, painting which is representing sewing woman, can be given about this point (Picture 3). This theme by Leyster is not the only example of the period. But it had stand against the traditional Dutch artistic theme about prostitution. This art of work is important because it is as one of the first efforts to be regarded as a hoax (Hofrichter 1982: 173-182).



Picture 3. Judith Leyster, 'Woman Sewing by Candlelight', 1633, oil on canvas, 28 cm. <https://www.pubhist.com/w22161> (21.08.2017)

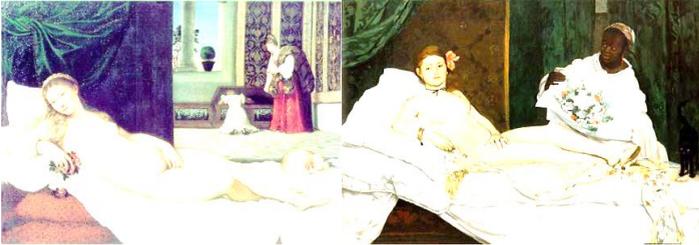
### Representation of Gender in Contemporary Arts

At the 19th century before the appearance of avant-garde, subjects and genres that determine the art such as historical, mythological, religious themes or portrait, still life and landscape, were dependence of traditions rooted in the taste of powerful individuals and power institutions. But at the beginning of the 20<sup>th</sup> century, avant-garde movement countered this by using non-traditional ways in art or by removing subject matter totally. Towards the mid-20th century, it became impossible to classify art in terms of genre or subject. And this atmosphere opened the way for contemporary art.

Contemporary art generally includes the art works from 1970 until today. But it means not only the art works which were dated in past but also means the unusual art works in appearance, production and ideas. It began to deal with sociopolitical, economic, moral and cultural issues in instead of traditional themes. And most of contemporary artists care about the idea and philosophy on their works not cares how the art work looks. Of course the art has always been interested in social themes but with contemporary art this relevance has been more than ever before. These points also can be explained in other way with Kagan's explanations: "The ability of the art to undergo changes can make it possible for a great variety of different art forms to exist" (Kagan, 2008: 275). And also Kagan says that the art has functions such as illuminating and constructive function, educational function and cultural function (Kagan, 2008: 441-451). So the themes of art are in connection with people and society directly or indirectly.

So art works from 1970s until today has been taken into consideration in the context of the title in this chapter. And the representation of gender in contemporary arts has been examined in different sub-lines according to the sub-titles of the term of gender.

Gender discrimination can be considered as the first gender issue and the representation of body in art can be examined under this point because of its relationship with being woman or man. Woman was one of the main subject matter of art in the past and it was mostly represented by nude figures. And the most popular discourse belongs to Berger about the term nude. In his book 'Ways of Seeing' in 1972 he said that being naked is to be yourself. But being nude is to be seen naked by others. And it must be seen as an object to be the nude of the naked body. Naked body reveals itself as it is, but nudity is displayed to be watched (Berger, 2008: 54). If we look at the art history we can see many artworks about nude, according to the Berger 'woman as an object'. So this point can be explained with the term gender discrimination over the woman body. Because in those art works we cannot see 'man as an object'. But in the frame of modern art we can see some differences about the representation of woman body in art. For example, 'Olympia' by Edouard Manet in 1863 which Manet based the composition of this painting on The Venus of Urbino, by Titan (Picture 4), may be the first protest about nudity. This work is also nude artwork but at the underlines it carries different messages. As Berger said "if we compare Manet's Olympia with Titan's, we see the woman opposes her place where she was sited the traditionally, with a certain uprising" (Berger, 2008: 63). The position of her head shows that as seen at picture 5.



Picture 4 (left). Venus of Urbino, Titan, 1538 <http://www.uffizi.org/img/artworks/tiziano-venere-urbino.jpg> (30.08.2017)

Picture 5 (right). Olympia by Edouard Manet, 1863. <https://www.mtholyoke.edu/courses/rschwart/hist255-s01/courtesans/olympia.jpg> (30.08.2017)

Also in the frame of modern art Tamara De Lempicka's art is important because of the representation of modern woman. Especially Tamara's iconic painting 'Self-Portrait in the Green Bugatti' in 1929 which represents woman who is equal to a man in a social context and who is strong and free. This painting also had come to the agenda during 1970s with feminism. And in 1989 with 'Guerrilla Girls' the big reaction about representation of woman in art over body started distinctly and it was quite a sound. That poster criticized the representation of woman in art with this slogan 'Do women have to be naked to get into the Met. Museum?' (Picture 6). This work criticized the gender discrimination in two ways: first is about the number of woman artist and the second is about the naked figures of woman. Since their inception in 1984 the Guerrilla Girls have been working to expose sexual and racial discrimination in the art world, particularly in New York, and in the wider cultural arena. The group's members protect their identities by wearing gorilla masks in public and by assuming pseudonyms taken from such deceased famous female figures as the writer Gertrude Stein (1874-1946) and the artist Frida Kahlo (1907-54). The Guerilla Girls wanted to change some points around the art environment such as; biology is fate (which belongs to Freud), there is no great woman artist, emotional and intuitive is a man, at Palladium only men's work can be exhibited, when they were invited to the Palladium to organize an exhibition by feminist art critic Lucy Lippard (Wither, 1988: 286).



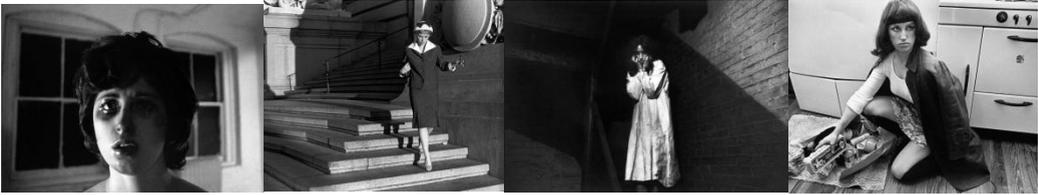
Picture 6. [http://www.tate.org.uk/art/images/work/PIP78/P78793\\_10.jpg](http://www.tate.org.uk/art/images/work/PIP78/P78793_10.jpg) (1.9.2017)

Another graphical expression about the gender roles is belongs to Barbara Kruger. Gender roles mean that is a group of gender-related anticipations that the community has defined and expects the individuals to fulfill (Dökmen, 2009:29). In her work named 'We don't need another hero' (1986) a girl admired and leaned to a small boy who had a weak. And this work queries the implicit gender roles of image in the context of structuring of cultural representations (Whitham and Pooke, 2013:210) because the society mostly gives gender roles to the children during their childhoods and these roles mostly gives the power to the boys.

Cindy Sherman also criticized the statue, roles and representation of woman through her artworks. At the end of the 1970s, Cindy Sherman exhibited series of small, 8 "x 10" cm photos named 'Untitled Film Stills' in New York, Artists Space. In that series, she was changing from one scene to another without being recognized by changing her makeup, hair style like a chameleon (Picture 7).

Cindy Sherman's Untitled Film Stills is a suite of 70 black-and-white photographs made over the course of three years in which the artist posed in the guises of various generic female film characters, among them, ingénue, working girl, vamp, and lonely housewife. Staged to resemble scenes from 1950s and 60s Hollywood, film noir, B movies, and European art-house films, the printed images mimic in format, scale, and quality the often-staged "stills" used to promote films. By photographing herself in such roles, Sherman inserts herself into a dialogue about stereotypical portrayals of women. And each photo frame looked as portrayed scenes of Hollywood melodramas. And the real woman hid herself behind the scenes

and could not be caught. At this photos Sherman not only criticizes the forces that direct women to behave in a way that has received public approval but also tries to reverse the gaze of the man who watches the woman as an object (Freeland, 2001:136-138).



Picture 7. Cindy Sherman's iconic stills <http://d3ao8sz5crj5i0.cloudfront.net/01-cindy-sherman.jpg> (1.9.2017)

Sherman's philosophy in this artwork series also can be supported with Mulvey's explanation that in films is a structure which functions on an axis of passive/active with the man always on the active gazing side and the woman on the passive "to-be-looked-at-ness" side. This is done in two completing manners, with both the male figure within the duogis and the camera looking at the woman and directing the viewer's objectifying gaze. In plain words, the woman in films in meant to be looked at (Mulvey, 2003).

The body is one of the most important points about gender in art. And also the criticism about the representation of woman has quite changed in contemporary arts especially with the changing atmosphere of art with new art types such as performance art which depends on human body.

Violence against women was also represented by performance art in the frame of gender theme. For example Japanese and American artist Yoko Ono who was John Lennon's wife, debuted 'Cut Piece' in Kyoto, in 1964 (Picture 8) and has since reprised it in Tokyo, New York, London, and, most recently, Paris in 2003. The artist sat alone on a stage, dressed in her best suit, with a pair of scissors in front of her. The audience had been instructed that they could take turns approaching her and use the scissors to cut off a small piece of her clothing, which was theirs to keep. Some people approached hesitantly, cutting a small square of fabric from her sleeve or the hem of her skirt. Others came boldly, snipping away the front of her blouse or the straps of her bra. Ono remained motionless and expressionless throughout, until, at her discretion, the performance ended. In reflecting upon the experience recently, the artist said: "When I do the Cut Piece, I get into a trance, and so I don't feel too frightened.... We usually give something with a purpose...but I wanted to see what they would take...."<sup>1</sup>

Also Gina Pane (1939-1990) who is a French artist of Italian origins working in installation and performance. Gina Pane is best known as one of the few female body artists of the 1970s to use her body in her work in extreme ways, including self-inflicted injuries. In the tape *Psyche* in 1974 (in some texts it is referred to as *Psyché*), Pane is inspecting herself in a large mirror (a psyché), and is using make-up to draw an image of her face on that mirror. With a razor blade, she cuts herself just below her eyebrows. Then she goes and stands against a grid, holding a bunch of downy feathers in her hands. With the razor blade, she cuts across in the skin around her navel. Between these acts of self-mutilation, she plays with tennis balls, licks her breasts and caresses her body with the feathers. However, these moments never last long. Ritual torture always plays the lead in this ceremony of cleansing. In *Psyche*, the artist proves herself to be as vulnerable as the mythological King's daughter with her butterfly wings.

Another important female artist is Marina Abramović who performed her art *Rhythm 0* in 1974. The artist allowed the viewers for intervening with some tools to her during the performance. And also some of the tools were cutting tools. The work was remade for exhibition purposes in 2009 as part of the Abramović's retrospective exhibition at the Museum of Modern Art, New York. In these performances, the violence that women apply to their bodies is the metaphor of social pressure and violence that women are exposed to (Antmen, 2014:177). And Suzi Gablik who is an art theorist, argues that the performers who uses violence and self-injurious during their performance with high-risk dimension have mirrored the general insensitivity of the social structure (Gablik, 1984:48).

<sup>1</sup> Yoko Ono quoted in MoMA Audio+ Guide, <https://www.moma.org/explore/multimedia/audios/406/7254>.



Picture 8. Cut Piece, Yoko Ono, <http://www.artversed.com/wp-content/uploads/2016/03/Yoko-Ono-Cut-Piece-1965.jpg> (1.9.2017)

In other representation of woman in the context of gender can be seen at Shirin Neshat's work called 'Rebellious Silence' which depends on photograph and video art (Picture 9). In the series "Women of Allah" (1993-1997) the contrast between the calligraphic text on women's bodies and the prohibition on speech is often suggested by titles. In "Speechless" the barrel of a gun peeps out from between a head-cloth and a woman's beautiful face laced with calligraphy, and in "Rebellious Silence" the cold steel of a weapon parts a woman's face and dark body into light and shade. The clothing and weapons suggest both women's defense of Allah in the revolution, and their defense of privacy and chastity in daily life. In these images there is a clear but ambiguous contrast between defense and attack, secrecy and exposure, eroticism and aggression. The range of imagery is kept within the cultural, religious and social codices of Islamic society, so Shirin Neshat is entitled to claim to have opened "a pictorial discourse between feminism and contemporary Islam", though "not as an expert" but as a images "passionate researcher" (Müller,2003).



Picture 9. Rebellious Silence, Shirin Neshat,

<https://kaperseusimages.s3.amazonaws.com/106da1496a448c8b8563ff5d9a26eb419eb1e3d0.jpg> (1. 7. 2017)

In the frame of gender another sub-line is stereotypes. A stereotype is "...a fixed, over generalized belief about a particular group or class of people" (Cardwell, 1996). Researchers have found that stereotypes exist of different races, cultures or ethnic groups and cannot change immediately or easily. And gender stereotypes also depend on social factors and cultural environment. The society has some rules about how man should be look or how woman must behave as woman. This point also has been voiced by the artist in contemporary art because contemporary art provides a favorable environment for gender inquiries. Of course the samples have given above also reflect stereotypes, too. But another side of gender which generally depends on sexual identity is mostly finding its place in contemporary art in the frame of stereotypes. With new approaches and new ideas of artist stereotypes have been started to collapse especially with queers. But Foucault's work has a strong influence on any postmodernist criticism and also in the activity of activist artists.

About queer Abrams says (1999: 255) "A central text is the first volume of Michel Foucault's History of Sexuality (1976), which claims that, while there had long been a social category of sodomy as a transgressive human act, the "homosexual," as a special type of human subject or identity, was a construction of the medical and legal discourse of the latter nineteenth century. In a further development of constructionist theory, Judith Butler, in Gender Trouble: Feminism and the Subversion of Identity (1990), described the categories of gender and of sexuality as performative, in the sense that the features which a cultural discourse institutes as masculine or feminine, heterosexual or homosexual, it also makes happen, by establishing an identity that the socialized individual assimilates and the patterns of behavior that he or she enacts".

Butler argues that we all put on a gender performance, whether traditional or not, anyway, and so it is not a question of whether to do a gender performance, but what form that performance will take. By choosing to be different about it, we might work to change gender norms and the binary understanding of masculinity and femininity. This idea of identity as free-floating, as not connected to an 'essence', but instead a performance, is one of the key ideas in queer theory (Gauntlett, 1998).

If we look at artworks in contemporary arts we can see many examples in these frames. And the collapse of stereotypes in art can be explained with Derrida's theory; Deconstructionism (or sometimes just Deconstruction) which is initiated by Jacques Derrida in the 1960s. It is a theory of literary criticism that questions traditional assumptions about certainty, identity, and truth; asserts that words can only refer to other words; and attempts to demonstrate how statements about any text subvert their own meanings. Also in Derrida's the postmodern theory of identity and subject that can no longer be mentioned a fixed feature, "It may be possible to discredit the masculine and feminine antagonisms of the gender in the postmodern era and thus to remove the hierarchies and the alienation from the scene" (Esayan, 2002).

For example the photographer Diane Arbus has photographed the daily life scenes of prostitutes, transvestites, mentally retarded subjects, and other alienated identities, usually left out of social life in America. This photograph (Picture 10) reflects Arbus's interest in gender and identity. This young man, photographed by Diane Arbus, looks at the objectives with a feminine expression with the curlers, the removed eyebrows and the painted fingernails, while the other side still preserves the appearance of masculine. This portrait can be explained with deconstruction of gender and identity because of unusual look for a man. This young man trapped between what societies expects from his body and what his body wants to present. By this scene society can be sent to rethink about different identities and also all known truths can be rethought.



Picture 10. A young man in curlers at home on West 20th Street, N.Y.C. , Diane Arbus, 1966 <http://ilovetalent.net/post/53507051465/this-friday-we-have-decided-to-look-into-the-work> (1.7.2017)

Olympia' by Edouard Manet in 1863 which Manet based the composition of this painting on The Venus of Urbino, by Titian, is reinterpreted by Yasumasa Morimura in 1988 (Picture 11) in the frame of contemporary art and also in the basis of Deconstructionism. Gender identity is important theme of Portrait (Futago). In western painting, female nude is a traditional genre. It was a master genre of the official French salons of the nineteenth century. When we look at the artwork we can notice the sexual identity of the object in the composition has changed. He presented the male body as a feminine indicator on a cover made of Japanese motifs. a male body which is with heeled slippers, hair, make-up and other accessories, is looking at the viewers with passive posture and inviting look. In this work, Morimura reverses codes known in both cultural and gender contexts. And his work leads to the reflection of the Japanese artists' role under the western influence and the gender identity. Despite their hair and muscular structure, the stretched naked body has accepted that it is feminine with a known Venus posing, and has embraced an inviting female posing as it was in Manet's Olympia. Manet deconstructed the classic Venus interpretation with Olympia in 1863 and Morimura after a hundred years passed, reinterpreted by adding the perception of homosexuality. This situation takes the viewer back to the Renaissance period and moves all the images and indications of the body in the subconscious. "The placement of Morimura as a woman destabilizes the notion of fixed, binary gender roles of male and female that is prevalent in existing culture, and instead constructs a new, more elastic gender identity, where stereotypes of male and female are subverted" (Roca, 2006). Morimura's artwork also can be explained with Barthes's theory that is the most eloquent theorist of intertextuality and always attacked the notions of stable meaning and unquestionable truth. Barthes says that all works of art are created by consciousness and unconscious references with other artworks in Intertextuality theory (Whitham and Pooke, 2013:82). According to this approach Morimura's Futago has

been created consciousness to other Venus' for drawing attention to the gender issue.

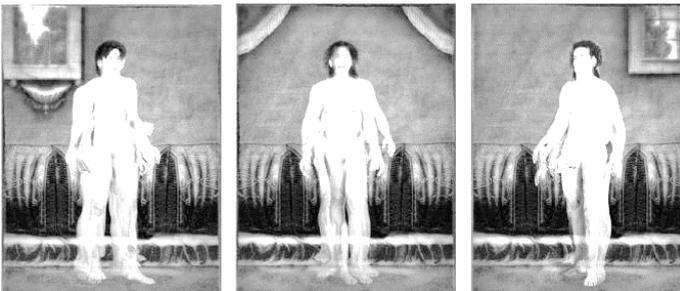


Picture 11. Portrait (Futago), Yasumasa Morimura, 1988. <http://ge1110-contemporary.blogspot.com.tr/2013/03/yasumasa-morimura-portrait-futago-1988.html> (2.9.2017)

Within each person, masculine and feminine features are found in different quantities. The masculine and feminine qualities within the bodies are transforming in the process according to Lacan and Deleuze. This transformation is reflected from outside the body as images and emotional behaviors. These reflections are mostly in the fight against heterosexual oppression, divided into two categories as gender categories, male and female. While sexual identity is simply divided into masculine and feminine according to the heterosexual cultural system, it comes in divisible in Lacan's subliminal theory. If the ban imposed within the social system creates division by Lacan's expression, the inner bisexuality that resists this division in the spiritual arena (Butler, 2012: 81-118). Deleuze who is a key figure in postmodern French philosophy, allows us to rethink the gender issue, similar to Lacan and Derrida's approach. According to Deleuze's theory, the body is a constant, constantly changing entity that is affected by society and affects society. Sometimes it can melt or glorify certain properties in itself (Işık, 1998: 117). According to Braidotti, who embraced the Deleuze philosophy, it should be the basis on which the individual wants to be rather than what is expected. These theories about how sexual identity can be transformed in a process can be visualized in the works of Teiji Furuhashi and Ahmet Elhan.

'Lovers' is a room-size installation by Furuhashi, a young artist from Kyoto. Full-scale images of five members of the Japanese performance collective Dumb Type (including the artist himself) fills four walls of a dark room. Motion detectors trigger some of the nude dancers' movements: strutting, running, embracing, separating, and posing with arms outstretched. Their bodies are at once wraiths, made insubstantial by technology, and corporeal, aching with feeling. Through his messages, Furuhashi is generally opposed to gender oppression and obligatory heterosexuality. Furuhashi died of complications from AIDS like Foucault's death from AIDS in 1984, shortly after "Lovers" debuted. He was thirty-five. This restoration is a landmark in the history of new-media art, and an epitaph for an artist who died far too young.

Ahmet Elhan brings different cultures and gender identities with nude bodies as a sculpture which is a universal symbol of antiquity heritage. Elhan puts bodies with different sexual identities on top of each other and intervenes, takes the transformation of the process individual into himself in his exhibition called 'Ink/composed' (Antmen, 2014: 70-71). Ahmet Elhan explores the boundaries of photography through experiments and studies the human body and plays with gender in his works of art. In his exhibition, Ink, Elhan carries the temporal wholeness, which he had previously created in the space axis, with the heterosexual hermaphrodite figurines. While the works at the exhibition are posing over the female and masculine body, they are investigating the new questions about movement and stability (Picture 12).

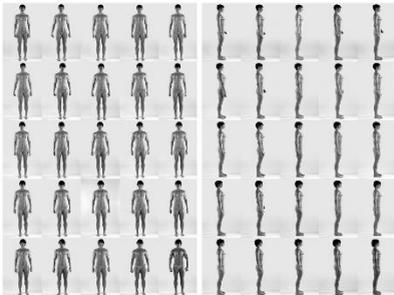


Picture 12. "Müreккеp I" Ahmet Elhan, 2013. <http://zilbermangallery.com/murekkep-e116-tr.htm> (2.9.2017)

There are also transgender artists who are changing the landscape of contemporary art. Transgender is a term that includes the many ways that people's gender identities can be different from the sex they were assigned at birth. There are a lot of different terms transgender people use to describe themselves. For example, sometimes the word transgender is shortened to just trans, trans, or trans male/trans female (Dökmen, 2016:25-26-27-28). Transgender people express their gender identities in many different ways. Some people use their dress, behavior, and mannerisms to live as the gender that feels right for them. Some people take hormones and may have surgery to change their body so it matches their gender identity. Some transgender people reject the traditional understanding of gender as divided between just "male" and "female," so they identify just as transgender, or genderqueer, genderfluid, or something else.

"Working in an array of artistic media including photography, video, sculpture, classical music and the spoken word, transgender artists are sharing their stories and experiences, their trauma and hope, their pasts and futures — on their own terms. Whether defining themselves as transgender, gender variant, transfeminine or gender failure, the following artists challenge our current understandings of identity while paving the way for a more aware and accepting future. With skill, bravery, humor and passion, the following artists interpret transgender life in radically different ways, revealing the infinitely multifaceted reality of the trans experience" (Frank, 2014).

One of them is Heather Cassils who is Canadian artist based in Los Angeles. While some view transgender identity as crossing from one gender to another, Cassils breaks down binaries to create a vision of continuous — and sometimes slippery — becoming. "Our bodies are sculptures formed by society's expectations...My body is my medium," says Heather Cassils, who uses art to explore gender in non-binary terms. Approaching transexuality as a continuum rather than a process of transition with an end point, he combines the artistic traditions of documentation and performance with his own bodybuilding practice. In the work 'Cuts: A Traditional Sculpture', Cassils revisits Eleanor Antin's landmark work of feminist art, 'Carving: A Traditional Sculpture'. Cassil's work upends Antin's quest for physical perfection by focusing on the quest to gain mass rather than lose it. Unlike the feminine act of weight loss in Antin's performance, Cassils's performance involves a transformation into a traditionally masculine muscular form (Picture 13).



Picture 13. 'Cuts: A Traditional Sculpture', Cassils, 2011-2013

<http://cassils.net/wp-content/uploads/2014/07/17heathercassils2011cutsatraditionalsculpturetimelapsefrontright-w-e1406233594208.jpg>

Yishay Garbasz is a Berlin-based artist and photographer whose diverse body of work displays a fortuitous congruity. Often, her subject matter is trauma and its intergenerational inheritance, through which bodily and embodied sites of conflict and memory loom large. In the case of her 2010 tour-de-force, 'Becoming', which chronicled changes in her body over the course of her gender affirmation surgery, she created a human-scale zoetrope to exhibit the work (Picture 14). Garbasz, who is transgender, previously explored issues of identity during her sexual reassignment surgery, documenting her body in the process. Garbasz says about her 2010 piece 'Becoming' "The piece looks at the viewers' reactions in a way. In the beginning most people look at the genitals—yes, no—but then they continue to look. The most interesting part about the piece is the hair. There are two versions of the work: the zoetrope, which when it was installed was the second biggest in the world, and the flip-book version. Even in the flip-book, the hair is really what interests people. The genitals occupy so little of the body in terms of percentage, and the legs and arms don't change. I'm the same person that I always was. To put it more clearly: I'm the same woman I always was. I wanted to bring that to light because the before-after trope is boring

and clichéd, contrary to what hundreds of CIS photographers would have you believe. I wanted to create something more real, and not about before and after” (Hugill, 2016).



Picture 14. Yishay Garbasz, *Becoming*, 2010, Installation of becoming at the Busan biennale // Copyright Yishay Garbasz, Courtesy Ronald Feldman Fine Art New York <http://www.berlinartlink.com/wp-content/uploads/2016/04/berlinartlink-yishaygarbasz-becoming-new1.1-590x393.jpg> (2.9.2017)

### Conclusion

In this paper, the way of expression of the concept of gender in contemporary art has been researched. The art is an important way of communicating collective messages through the artists and their work. In the 20th century, and especially since the second half of the century, the content of art is as important as the aesthetic appreciation and this point can be seen at the art practices which multidisciplinary approaches get to the forefront. This content was sometimes emphasized as Teiji Furuhashi's installation and performance work, 'Lovers' which opposition to gender repression, that controlled by computer and incorporating audiences into moving pictures and sounds. An indirect duel was expressed, as in the work of Ahmed Elhan, 'Ink', which can be explained by some identity theories the social content in the artwork has sometimes turned into a meaningful interpretation by iconographical analysis, as in Shirin Neshat's works on gender and power. This research has also showed that the postmodern age has become very important issue for vocalizing the term gender by society and artists. The concept of gender has been explained in several times during the modern and postmodern age and it made possible to talk about it or to represent it by art. The studies on gender issues by psychology, sociology and philosophy have allowed contemporary artists to move to this subject in their works of art. And also these investigations have given a change for transgender artist about feeling free to invoice their hopes and ideas on the stage of contemporary arts. In fact as Kagan's says that the art has a social function. The art must give different perspective to the society because making easier to perceive some different situations, thinks and ideas.

And as a result; when we look at 'The Venus' which are in pictures 4-5-11, it tells us that the concept of gender has found its place in contemporary arts with its changing looks.

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## How much space is given to women in local Kosovo newspapers competing for mayors?

**Arbenita Sylejmani Nimani**

PhD candidate, University of Tirana, Republic of Albania

### Abstract

The purpose of this paper is to identify the space that was given in the local newspapers to women that competed for mayors during the election campaign held on November 3, 2013, in Kosovo, and to see if the newspapers can be one of the factors that in this election there were fewer women that competed and that only one was elected. On November 3, 2013, the local elections were held for 37 municipal mayors in Kosovo. From 37 municipalities there were 206 men and 8 women candidates. In all municipalities only one woman was elected as a mayor of municipality. We are waiting for the new local elections that will be held on October 2017, and again there will be fewer than 3 % women who will compete. The methodology of this article is the content analysis. An analysis of the articles from three daily Kosovo newspapers was used, which are the most read, such as: Koha Ditore, Kosova Sot, and Zëri. The sample for the analysis included: the month of October, since on October 3rd the election campaign was officially started. In addition, it includes the first week and the last one of the month of October, 2013. From the analysis it is noticed that women who competed were given very little space in the newspapers. For example, the most widely read newspaper "Koha Ditore" during this period on the first page only mentioned 1 woman competing while men mentioned 42 times. With the very small number of women mentioned on the front page there is also the second most widely read newspaper in Kosovo, "Kosova Sot", which only once mentions a woman, while men are mentioned six times. The third most widely read newspaper, the "Zëri" newspaper, first page men mentioned 29 times while women 4 times. Considering the fact that patriarchal opinion prevails in Kosovar society, and when the newspapers do not give space to women who are competing, then it is conceivable that we have very few women to vote. Also, this tiny space given to women during the race implies that we have too few women competing because the biggest newspaper space would make women aware and stimulate them to compete, and of course we will have more women voted.

**Keywords:** spaces, newspapers, women, men, compete

### Introduction

#### The space that local newspapers in Kosovo give to women who run for mayors

Before starting the interpretation of the results it is important to show why these three newspapers have been chosen for analysis. According to a survey conducted by Index-Kosovo in Kosovo in 2008, the most widely read newspapers in Kosovo are: Koha Ditore 36%. The newspaper Kosova Sot follows with 35% and, Zeri's paper by 8%.

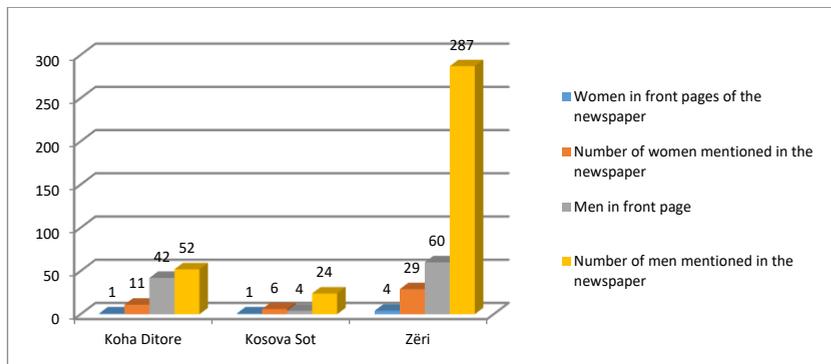
The analysis shows that there is a big gender difference in how much space is given by Kosovo newspapers when women are competing. As can be seen from Figure 1 below, the most widely read newspaper in Kosovo "Koha Ditore", only one woman had mentioned on the first page during the election campaign. While, the men who competed were mentioned on the first page 42 times. Gender difference is also found inside the newspaper, where women were mentioned 11 times while men 52 times.

We also have the number 2 most read newspaper, which is the newspaper "Kosova Sot", which on the first page also mentioned only 1 woman, while the men this newspaper had mentioned 4 times in the front page. In this newspaper we have a huge gender difference in the newspaper, where 24 men and 6 women are mentioned.

The third newspaper listed in Kosovo, which is the newspaper "Zëri", also has a large gender difference on the front page. This newspaper distinguishes from the first two of the most widely read because there is the largest gender difference between men and women mentioned in this newspaper. On the front page of this newspaper 60 men have mentioned and

only 4 women mentioned. Inside the newspaper the men politicians who ran were mentioned 287 times while competing women were mentioned 29 times.

**Figure 5: the space given women in newspaper who run for mayor**



Source: National Library of Kosovo/respective newspapers

Media, with its own epithet as the fourth power, has an enormous role in people's lives, including the best opportunity to promote the issue of gender equality. Considering this role of the media, there should be harmony between gender issues and the media and journalism, because these two areas are inseparable. Therefore, it is very improbable to think that the media has no impact on people. (Gauntlett, 2008, p. 2 dhe 3)

The media not only has a reflection on public opinion, but it is also one of the socializing agents of the individual who has a great deal of influence on the formation of public opinion and the education of the people.

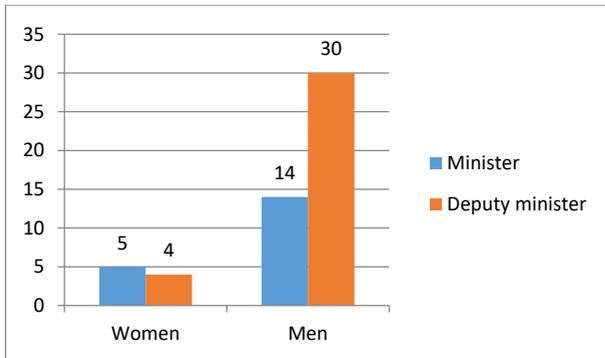
Media can have a huge impact on empowering women. Therefore, the Beijing Platform for Action was adopted at the Fourth Women's Conference in 1995. This platform identifies the issue of "women and the media" as one of the twelve critical and worrying areas, and emphasizes that "there is a possibility that the media contributes more to the advancement of women." This platform has also set two strategic objectives, where one of these objectives is dedicated to new media and new telecommunication technologies, through which they promote a balanced and unbiased stereotyped women in the media.

**Not only do the newspapers have gender differences**

The small number of women is not just of those who run for mayors. Also, newspapers do not remain the only ones that have large gender differences. In order to have a clear situation, it is important to have a gender overview of the current 2017 outgoing Government.

For example from 19 ministries – 14 men are ministers and only 5 women are ministers. On the position of deputy ministers there are 20 men and only 4 women, see fig. Nr. 2. Even though every political party in Kosovo has 30% of women, as it is required by legal quota, still these 30% of women remain invisible in decision-making positions.

**Figure 6: Gender structure in Kosovo government 2017**



Source: Kosovo Government: <https://www.rks-gov.net/sq-AL/Pages/Fillimi.aspx>

This tells us how much patriarchal mindset still prevails in Kosovo society. For many centuries, this mentality was not installed in the Kosovar mentality. Therefore, the Albanian sociologist Zyhdi Dervishi was right in claiming that in Albanian mythology, the portrait of the Albanian woman was compared to the image of Zana (fairy), who was believed to be a woman dressed in bridal clothes, but also distinguished by her bravery. But the Ottoman Empire was the one that put the idea that military functions and war were men's occupations and jobs. Prejudices for women have overwhelmed the entire atmosphere of Albanian society and as an invisible gelatinous mass prevented the engagement of girls and women in political life. (Dervishi, 2011, p. 18).

#### **Why so few women voted?**

It can be quite rightly pointed out that the newspaper can be considered one of the reasons why we have very few women voted in Kosovo, and also why very few women compete for mayors.

On the other side, it is not only the media, in these case newspapers, the only factor that determines why we have so few women voted. An important role has also the political culture that we have in Kosovo. Here, political culture that prevails is that we do not see the candidates and do not read the programs of the political parties. In Kosovo, voting for political party is done based on emotional bonds to the party, without reading the program or seeing the candidate. Political entities in Kosovo are viewed on the basis of territories and in each area so far are known the result in advance of who will win the elections.

#### **Why are media and politics very close?**

At the time when these 8 women competed for mayors, in Kosovo we had a woman as the country president. It is not the purpose of this paper nor has the analysis devoted to the criticisms for her. But considering it very important to mention that there was much criticism at the time, both for her appearance and performance. Although there is no empirical and scientific evidence in Kosovo regarding what political party owns any kind of media, there are some small articulations – not scientific but individual, which are told by the people on which media belongs to which political party. But, from what we see during the political campaign, there are several media outlets that speak in favor of one or another political party in Kosovo. What can we say in this case? That if Mrs. Jahjaga had a media platform there wouldn't be mainly criticism addressed to her, but a new reality would be presented towards Mrs. Jahjaga, different from the one we are used to see on most of the occasions

Or what can we say about these 8 women competing for mayoral elections in these elections if they had a newspaper, would they give themselves more space? Of course yes. They would give themselves more space, and surely today we would have more women as mayors, and today, more than 3% of women would compete for mayor. It would also be considered a very powerful tool to overcome prejudices about women in politics.

The very fact that the history of newspaper creation has started with the political developments of societies, even the first publications have begun in the form of billboards, policy pamphlet publications or other interest groups in general (Berisha, 2007, p. 44), shows why politics has a very close relationship with the media and in this case newspapers. Because of this

very close relationship between media and politics, where the media itself has the power to change reality depending on social and political situations or interests, naturally the question arises as to how we can have a realistic picture of women's portrayal in the media, and in this case, in newspapers? Or, as Giovanni Sartori said that in the case of media monopoly there is no worthy public opinion (Sartori, 1998).

Experts in the field of mass communication argue that political competition is deeply transformed with the development of political marketing based on lure, speed, restricted vocabulary, and the media is taken as a convenience and short way to communicate with citizens (Maigret, 2010).

German politician Werner Patzelt has found a kind of interdependence between government officials and journalists in his research, pointing out that the relationship between them is multifaceted because each one is dependent on the other (Patzelt J., 2016).

The democratic country should be followed by the free and independent media, as Monro E.Prajs and Peter Krug said, in their study "The Environment Friendly for Free and Independent Media", saying that without the press free democracy is impossible, as the courts claim (2000).

### Conclusion

Newspapers in Kosovo do not offer minimal space for women politicians who run for mayors, compared to their male counterparts. Normally, having this situation in newspapers, how can we expect to have more women voted?

The media, in this case newspapers, as one of the important pillars of democracy, and the educational role it has, should work in the spirit of non-discriminatory gender-based reporting. This is to make the newspapers give much more space for political women when they run for mayors. It remains to be hoped that the situation will improve as soon as the election campaign for elections to be held in October of this year (2017) is opened.

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## Cooperation and Coopetition as a Tools Which Could Improve Leading Startups all over the World

Aneta Ejsmont

Prof. Edward F. Szczepanik State Higher Vocational School in Suwalki, Department of Humanities- Economics

### Abstract

Building own business is a long-term and laborious process. A person who leads a startup tries to start with building own business by taking first steps toward financial independence. Analyzing conditions in Poland, on average every second startup sells its services abroad, admittedly it is good news, although half of them do not export at all. Half of the startups which export their services and goods generates more than 50% of their revenues outside Poland. Very interesting is the fact that 60% of exporters have conducted their foreign sale since the moment of establishing their business. On which markets do they sell their services? It turns out that the most popular are markets in the European Union (54%), including the United Kingdom 14% and Germany 9%. Only about 25% of Polish startups exports their products and services to the United States. Taking the United States into consideration, in 2008 the USA lost their leading position in the number of startups which are newly created and achieving success in business. Currently in terms of the number of new startups the USA is on a quite distant place after Denmark, Finland, Sweden, Hungary, New Zealand, Israel or Italy. In short, more companies were closed than created, so it was, as a matter of fact, like in Poland. Therefore, the condition to improve the development of startups both from Poland and other countries all the world is to increase cooperation and coopetition.

**Keywords:** cooperation, coopetition, company, startup

### Introduction

The fashion for startups has been developing all over the world for a few years, also on the Polish market. This modern form of new enterprises or germinating ideas for venture is to stimulate economy and to induce a lot of people to set up their own business activity, for their own account. Cash is not necessary to set up a startup. Launching a startup also does not require funds regardless what the venture concerns, whether it is IT or any other trade idea. However, the idea itself may obscure a rational shattering it or preventing objective evaluation of the chances to succeed on the market. Obviously, even the most crazy ideas may be a success but the probability is rather small. Excessive belief in the success of the venture may hinder apparent threats and drawbacks, therefore the phase of searching and elaborating the project is essential. Building own enterprise is a long and laborious process. When analysing Poland's condition, yearly every second startup exports its products and services and half of them gets over 50% of their revenues from investments made outside Poland. In terms of other countries, when in Poland such ventures may only be closed, in the USA new, great projects start. Although also there in 2008, i.e. since the global financial crisis was spreading to a bigger scale, they lost their leading position in the number of newly started and successful enterprises.

Nowadays, according to the Gallup Organisation it is on far twelfth place behind such countries as Denmark, Finland, Sweden, Hungary, New Zealand, Israel or Italy. According to the US Census Bureau in 2014 for the first time crossed two curves: the number of start-ups and liquidated entities, i.e. more companies were closed than started. The criterion for startups is that they function and employ at least one employee. Till 2008 the number of startups was on average about 100,000 higher than liquidated firms. In 2014 400,000 companies were set up and 470,000 were closed<sup>1</sup>. Therefore, the

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<sup>1</sup> M. Bengtsson, S. Kock (2000). Coopetition in Business Networks- Cooperate and Compete Simultaneously. *Industrial Marketing Management*, 29, 411; J. Cygler (2009). *Kooperencja przedsiębiorstw. Czynniki sektorowe i korporacyjne*. Warszawa: Szkoła Główna Handlowa w Warszawie, 15

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aim of this article is to try and verify the research hypothesis that cooperation connected with coopeitition may positively influence the development of startups worldwide.

Cooperation is generally defined as joint action of at least two entities which is this way strive to a better realisation of their aims or achieving a common goal. Coopeitition, on the other hand, is a process consisting in simultaneous clash of two contrary relation: competition and cooperation<sup>1</sup>.

It is cooperation connected with elements of competition that is necessary for the startups to stay in the market, i.e. rising startups should cooperate more with big corporations what may enable them to survive difficult situations connected with fluctuations of economic situation. Startups owners to transfer their activity to a higher level should mind the environment that surrounds them. Therefore, they ought to cooperate with other economic entities with similar goals and be surrounded by people who go in the same direction to build relations exceeding usual frameworks. Companies starting their economic activity should look for other companies which could provide mentor guidelines, support and inspiration.

## 1. Research methodology

In this elaboration was used research method including material analysis and synthesis. The applied method allowed to prove that the condition to improve the functioning of startups and at the same time their development both in Poland as well as worldwide is cooperation connected with coopeitition which increase the chances to succeed in business.

The applied analysis is a statistical procedure allowing to quantitatively determine the influence of cooperation and coopeitition on the level of startups development regarding their number in particular countries, innovation level, profitability, the number of clients and business partners. Material synthesis connects specified elements comprising the research problem which is low level of startups development in Poland in relation the rest of the world. In this case synthesis forms holistic cognitive treating of the analysed research problem in the process of conducting business activity. Therefore, this part of the research method is a specific combination with comparative analysis of business entities regarding the above mentioned factors.

The tool used in this article is the so called „standardized effect”, i.e. the effect expressed in a convenient standardized units. Standardized effect for independent trials in conducting the *t*-tests is the difference of means divided by a standard deviation. In the analysis of the *t*-test effect size there are the following sections of the standardized effect<sup>2</sup>:

- very small effect ( $E_s < 0,20$ ),
- small effect ( $0,20-0,50$ ),
- medium effect ( $0,50-0,80$ ),
- large effect ( $E_s > 0,80$ ).

Comparing the amounts of the above economic magnitudes calculated for particular startups giving the basis to formulate alternative hypothesis confirming the fact how much cooperation in connection with coopeitition contributes to improvement of their functioning enables more or less precise verification of the above hypothesis, however it does not allow to fully state whether the obtained results give optimal solution. Therefore, analysis and synthesis of material is essential to determine this.

## 2. The problem of startup creation

Startup is an enterprise which fulfils at least one of the two conditions<sup>3</sup>:

1. It belongs to digital economy sector, what means that information processing or derived technologies comprise at least one or more of the key elements of its business model,
2. It creates new technological solutions in IT/ICT, i.e. connected with the Internet and information technologies.

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<sup>1</sup>[http://www.statsoft.pl/textbook/glosfra\\_stat.html?http%3A%2F%2Fwww.statsoft.pl%2Ftextbook%2Fglose.html](http://www.statsoft.pl/textbook/glosfra_stat.html?http%3A%2F%2Fwww.statsoft.pl%2Ftextbook%2Fglose.html) (August 12, 2016)

<sup>2</sup> J. Picken (2017). From Startup to Scalable Enterprise: Laying the Foundation. *Business Horizons*, 60 Issue 5, 587-589

<sup>3</sup> K. Rockwood (2017). Is That Startup Spirit Sagging? You Can Build it Back Up. Inc, 39 Issue 7, 68

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As it was mentioned in the introduction, the fashion for start-ups has been developing for a few years and also on the Polish market there are more and more such initiatives. This modern form of newly created enterprise is to stimulate economy and to induce a lot of people to set up their own business activity, for their own account. Cash is not necessary to set up a startup. Launching a startup also does not require funds regardless what the venture concerns, whether it is IT or any other trade idea.

Owing to zero investments in the market examination and at the same time receivers' expectations, one may expand their knowledge and gain new skill and experience without losing money if the idea turns out to be unsuccessful. If the venture fails, one may gain by saving on investments. It is also some kind of a motivation and determination test to project implementation. However, as it turns out, nothing comes easy and even the best ideas require adjustments to receivers' needs. Besides being the persistence and patience test, time devoted for communication and collecting market data together with their analysis is a test for creativity and flexibility towards one's ideas. No financial outlays are necessary on this stage for the idea to evolve, but searching investors who would like to put financial means into a rising enterprise is of key importance. Very often at this stage the idea becomes profitable, even certain of success or requires taking risk due to the market dynamic and too many independent factors. In the first case, investors will find themselves. Owing to a lot of research and pilot tests of products, the startup becomes known and often even recognisable, in demand. To its development only capital is necessary<sup>1</sup>.

Every year there are many competitions for startups. On the Polish market there are a few organisations of this kind, such as <sup>2</sup>:

- Lewiatan Business Angels,
- Amber Business Angels Network or
- Supraregional Business Angels Network – Innovation.

Besides private investors, foundations created to support entrepreneurship and also EU funds for innovative ventures are a popular form of startups funding. JEREMIE, created by the European Commission, the European Investment Fund and European Investment Bank, is one of such funds. Also government financial resources may be useful. There are grants from District Employment Agencies for launching own business activity. Means from assistance funds are usually low-interest loans non-repayable if the project is a success.

The rules for spending the money are diverse. On a different basis operate business incubators, so popular on higher education facilities and created by special economic zones. The latter facilitates access to knowledge, office, software, etc. There is a wide range of opportunities for a future entrepreneur. An alternative to investors or sponsors are loans and credits for companies, however it is extreme taken into consideration many possibilities even such as Venture Capital<sup>3</sup>. Polakpotrafi.pl or other crowdfunding websites are a popular form of looking for investors on the Polish market. In the case of startups it is very often easier to find an investor through project promotion on crowdfunding websites. Halfway solution between crowdfunding and sponsoring is to offer shares in profit or shares in the company in return for the project support<sup>4</sup>. Additionally, it should be taken into consideration that without own capital to start a project implementation one may rarely find an investor who will not want something in return. More and more often it is possible to use online know-how of many organisations, business incubators, business chambers and associations, institutes of economic development in exchange for a share in the future profit of the company. Support offered by experienced entrepreneurs, businesspeople has diverse character, starting from organisational knowledge concerning economy, finances through marketing and on specialist knowledge from a given domain ending. Even if there are no particular amounts of money, this type of help is also valued.

When creating startups without financial means it is not certain that they will not be needed in the future. Due to their online popularity, the majority of start-ups is totally cost-free. The only expense and investment is the idea, time and work put into

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<sup>1</sup> <http://bestcapital.pl/czy-warto-inwestowac-w-startupy/> (July 22, 2015)

<sup>2</sup> C. Klingbeil, T. Semrau (2017). For Whom Size Matters- The Interplay Between Incubator Size, Tenant Characteristics and Tenant Growth. *Industry & Innovation*, 24 Issue 7, 735-736; L. Wang, F. Zhou, Y. An (2017). Determinants of Control Structure Choice Between Entrepreneurs and Investors in Venture Capital-Backed Startups. *Economic Modelling*, 63, 218

<sup>3</sup> T. Brown, E. Boon, L. Pitt (2017). Seeking Funding in Order to Sell: Crowdfunding as a Marketing Tool. *Business Horizons*, 60 Issue 2, 190

<sup>4</sup> <https://e-biznes.pl/jak-zalozyc-start-up-bez-srodkow-wlasnych/> (December 22, 2015)

the creation of virtual products such as mobile application, website, blog, service, etc. In the case of such activity it is always worth trying and observing to what extent the market will accept the offer and in which direction it will evolve. Then there is a chance for success because nothing important is missed. Perceiving market and recipients' behaviour for whom the start-up is designated, a bad idea may be abandoned or altered so that it could fit the market.

It is worth emphasizing that as a rule at the beginning a startup does not have to be profitable. Profit is a derivative feature of a beginning enterprise. A model startup is a situation in which income zeroes out the expenses. If the entrepreneur is able to earn on a given project at the beginning it does not mean that in the following years they will not find any legal or economic obstacles. Ventures with non-established position reach the top as quickly as they fall down. Therefore, profits should be used for evolution and development, adjusting and improving the product. No one has ever created an ideal product or service which could not be improved<sup>1</sup>.

Analysing the number and state of startups in the world it is worth mentioning that in the Silicon Valley, the startup capital city of the world, between San Francisco Bay and San Jose, there are registered offices of such companies as: Apple, Facebook, Tesla, Intel, Lockheed Martin, HP, Google, Netflix, eBay and many more other innovative firms which started their economic activity as startups. It is not possible to copy the Silicon Valley in a different part of the world but "bridges" may be built to facilitate the flow of know-how and capital. Israel deals with it really well. In Tel Aviv there are about thousand startups, one for each 19 m<sup>2</sup>. The biggest corporations such as IBM, Facebook, Google or Deutsche Telekom have their corporate seats and research centres there and what is more there are many accelerators in the city, i.e. ventures helping a company in speeding its development. Almost every week there is an event for startups. Key role played Israeli government which in the '90s decided to start Yozma programme. 10 Venture Capital funds were created, each with 20m USD budget, investing in companies in the initial phase of development. Special tax conditions were offered to encourage foreign investors. In China, on the other hand, there is a fast growing percentage of people using different kinds of online services and mobile devices. China has its own equivalent of Google, eBay, Facebook and YouTube. 25% of the world's startups has been created and is operating there and their value is exceeding 1bn USD<sup>2</sup>.

Korean start-ups develop equally rapidly, although a bit less spectacularly. Government is very helpful in this matter. Recently it has announced that Seoul will spend almost 66bn USD to subsidize the activity of startups and innovative companies in the following years. Also in some regions local governments offer help. Young entrepreneurs may use the help of mentors owing to several dozens of accelerating programmes. Startup community has been growing since 2010 and the Silicon Valley seems to notice it. One of the most significant accelerator from the Silicon Valley – 500 Start-ups has its representatives in Seoul and offers not only 4-month mentoring programme but also invests in startups. More and more often to Korea go representatives of American funds<sup>3</sup>.

In Poland operate about 2.7 thousand start-ups. The majority manufactures software and offers its products and services to companies. European research show that Polish startups are rather new – average time of operation does not exceed 2 years. This put Poland on the third place in Europe regarding the youngest enterprises, right behind Romania (1.3 years) and Italy (1.7 Years). Polish startups are in majority young companies at an early stage of identifying customers' needs and are mostly created with subsidies from European funds<sup>4</sup>.

The majority of startups (77%) conducts its sale in Business to Business model (B2B). In this group there are also startups which sell to companies and individual clients, i.e. they implement mixed model (26%). As a result it might be stated that "pure" B2B model implements half of the researched entities and 18% sells only in the Business to Consumer model (B2C). Start-ups from category "other" realize variations of the models mentioned (B2B2C, B2G, etc.). It is worth noticing that every third researched start-up offers its services in the popular SaaS model (Software as a Service) and more importantly the majority (59%) is micro-entities. More than ¾ sells to business and only half of them offers its products or services to big companies, including huge corporations. Additionally, over 47% of startups are exporters who conduct foreign sell since the beginning of their activity. Therefore, there is a polarization of the group of exporting startups: first numerous group exports a lot and the second group, i.e. in majority micro-entities, not much. The least is exporters who balance the sale on

<sup>1</sup> <http://businessinsider.com.pl/finanse/firmy/startupowe-stolice-gdzie-powstaja-startupy/6e74kt4> (May 29, 2016)

<sup>2</sup> <http://businessinsider.com.pl/finanse/firmy/startupowe-stolice-gdzie-powstaja-startupy/6e74kt4> (May 29, 2016)

<sup>3</sup> A. Skala, E. Kruczkowska (2017). Raport. Polskie startupy 2016. Warszawa: Bank Citi Handlowy, 8, 11, 24-25, 52

<sup>4</sup> D. Acemoglu, P. Aghion, R. Griffith, F. Zilibotti (2007). Vertical Integration and Technology: Theory and Evidence, Institute for Empirical Research in Economics University of Zurich. Working Paper Series, 342, 2

domestic and foreign market, 54% exports to EU countries, 3% of them exports to Asia and only 1% to Russia what is understandable in connection with embargo put on Poland by Russia as well as Russia-Poland relations.

To sum up the above considerations, it should be firmly stated that the process of building startups is not easy. The biggest problem is the lack of funds for development. There is also the lack of faith in success what is partly connected with no ability to connect interesting and innovative ideas with good marketing. Additionally, especially Polish startups cooperate with big corporations in a very small degree, what will be discussed in the further part of this article.

### 3. Tools supporting startups development all over the world

There are a lot of tools supporting startups development not only in Poland but worldwide. Two of them need to be emphasised: cooperation and coepetition, completing each other. Cooperation which is broadly defined collaboration helps in making contacts between start-ups created by micro-entities and big, international corporations. Such economic entities are able to teach big companies a lot about creativity and ingenuity. Coepetition results from simultaneous clash of two contrary relation: competition and cooperation. The process of establishing cooperation between the researched entities in inseparably accompanied by broadly understood competitiveness which induces to implement innovative solutions used by both new startups as well as big concerns or holdings.

#### 3.1. Cooperation as a determinant influencing the process of establishing active start-ups

Enterprises starting their economic activity to function efficiently need not only proper resources management, elaborated budget or proper finances control but also good communication, fluidity between particular departments and different size entities. To do so they need to elaborate cooperation strategy consisting in technological and organisational connection of production and distribution with sales or other processes connected with startup functioning.

Many experts from economy and finances believe that technological advance and globalisation contribute to internal organisation of a company. In this case smaller companies are favoured because they seem to be more flexible compared to big entities. Small and medium-size enterprises have in particular the possibility to increase the level of innovation due to cooperation with big corporations on a global scale<sup>1</sup>.

With reference to the above, the influence of cooperation on the development and through this on the activity of startups is researched with regard to employment, innovation, profitability, the number of clients and business partners. The data concerning arithmetic mean, median and standard deviation is presented in the table below (Table 1)

**Table 1.** The influence of cooperation on the startups development in 2010-2017

	Country	Increase of employment level	Increase of innovation level	Profitability	Increase of the number of clients	Increase of the number of business partners
MEAN case 1-189	Lesotho	0.71957672	0.396825397	0.433862434	0.582010582	0.661375661
MEDIAN case 1-189	Lesotho	1	0	0	1	1
SD case 1-189	54.7037476	0.45039915	0.490538649	0.496922874	0.494538448	0.474498853
VALID_N case 1-189	Kosovo	189	189	189	189	189
SUM case 1-189	36855	136	75	82	110	125

<sup>1</sup> M. Bengtsson, S. Kock (2000). „Coopetition” in Business Networks- Cooperate and Compete Simultaneously. *Industrial Marketing Management*, 29, 411-426; J. Cygler (2009). *Kooperencja przedsiębiorstw. Czynniki sektorowe i korporacyjne*. Warszawa: Szkoła Główna Handlowa, p. 15-16; A. Ejsmont (2016). *The Deliveries Chain and Value Added in Context of Coepetition Between The Service and Industrial Companies in Poland and UE*. *European Journal of Economics and Business Studies*, 6, 201

MIN case 1-189	Afghanistan	0	0	0	0	0
MAX case 1-189	Zimbabwe	1	1	1	1	1
_25th% case 1-189	Dominican Republic	0	0	0	0	0
_75th% case 1-189	San Marino	1	1	1	1	1

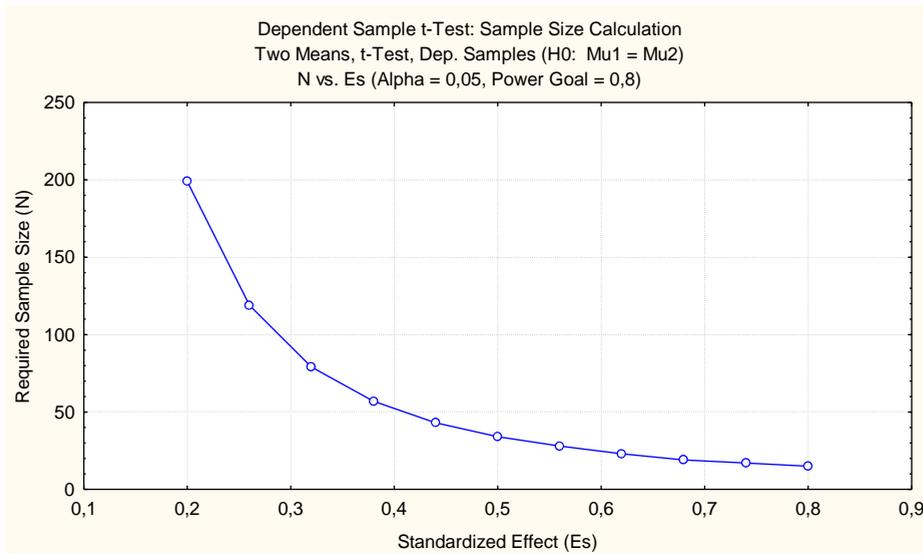
Explanation: 1- affects, 0-does not affect

Source: Own elaboration on the basis of Doing Business. Equal Opportunity for All (2017). Washington: A World Bank Group Flagship Report, 114-117, 188-192; <http://ec.europa.eu/eurostat/data/database> (September 9, 2017)

Based on the data from Table 1 it may be firmly stated that in such countries as Lesotho, Kosovo, Afghanistan, Zimbabwe, Dominica Republic and San Marino the influence of cooperation on the development of startups had significant importance with regard to the level of employment, innovation, profitability, the number of clients and business partners. However, countries such as the USA, Switzerland, Japan or even China were characterised by increased level of cooperation on the above factors. In these countries the biggest number of startups were registered and at the same time these countries have enhanced level of innovation and as a result profitability, increased level of employment, number of clients and business partners growing every year. Additionally, the analysis and synthesis of this material indicated that in these countries broadly understood cooperation on a massive scale has been developing between big corporations and smaller startups.

With reference to the above, taken into consideration the data concerning the influence of cooperation on the development of start-ups all over the world in 2010-2017 in the context of increasing employment, level of innovation and profitability as well as the number of customers and consequently the number of business partners, to research the influence of cooperation on the above factors *t*-test was conducted for dependent trials where two dependencies were compared: the level of innovation and profitability as well as the number of employed, customers and business partners. The data are presented in Graph 1 (Graph 1).

**Graph 1.** Dependence of standardised effect on cooperation among startups in 2010-2017



Source: Own elaboration based on Doing Business. Equal Opportunity for All (2017). Washington: A World Bank Group Flagship Report, 114-117, 188-192; <http://ec.europa.eu/eurostat/data/database> (September 9, 2017)

In the context of testing statistical relevance, a null hypothesis was formulated stating that cooperation with big corporations does not influence development increase of generally smaller startups in the context of enhancing employment, innovation

level, profitability as well as the number of customers and business partners, what is opposite to what the author wanted to demonstrate. In the analysed case, very small standardised effect amounting to 0,00106482 with the power of test for the required sample size N= 188 on the level of 0.8000 confirms the reliability of alternative hypothesis stating that the condition to increase the influence of cooperation on the development of startups all over the world is intensified cooperation of the researched entities with big corporations.

### 3.2. Coepetition as a determinant influencing the process of establishing active startups

There is no unequivocal definition of coepetition in the strategic management literature. Mostly quoted is M. Bengtsson and S. Kock's definition in which coepetition is a simultaneous relation of competition and cooperation appearing between competitors. This paradox causes that at least two independent parties cooperate with each other in order to achieve common benefits and do not stop being competitors. The complexity of cooperation and competition results from simultaneous application of contradictory relations between enterprises consisting in trust and conflict. As a consequence, there is a paradox in which competing sides need to trust each other, engaging in cooperation, sharing information, experience and cooperation risk. Owing to this both parties may integrate their actions to achieve intended benefits and at the same time realise individual strategic aims<sup>1</sup>. Simultaneousness of these two phenomena of competition and cooperation also causes interdependence of their relations. Therefore, competitors cooperate in some functions of the value chain, i.e. common production, marketing, B+R, information systems but they compete in others, such as customer service of products offer. Another element of M. Bengtsson and S. Kock's definition is the competitive character of both parties. This means that coepetition concerns relation of direct competitors who very often offer similar groups of products or whose offer is addressed to the same customers regarding demand and geography.

With reference to the above, the influence of coepetition on the development and at the same time on the activity of startups worldwide regarding employment, innovation, profitability, the number of customers and business partners was researched on the basis of analysis and synthesis. The data concerning arithmetical mean, median and standard deviation is presented in the table below (Table 2).

**Table 2.** The influence of coepetition on the development of startups in 2010-2017

	Country	Increase of the level of employment	Increase of the level of innovation	Profitability	Increase of the number of customers	Increase of the number of business partners
MEAN case 1-189	Lesotho	0.71957672	0.396825397	0.4338 62434	0.428571429	0.582010582
MEDIAN case 1-189	Lesotho	1	0	0	0	1
SD case 1-189	54.7037476	0.45039915	0.490538649	0.4969 22874	0.496186062	0.494538448
VALID_N case 1-189	Kosovo	189	189	189	189	189
SUM case 1-189	36855	136	75	82	81	110
MIN case 1-189	Afghanistan	0	0	0	0	0
MAX case 1-189	Zimbabwe	1	1	1	1	1
_25th% case 1-189	Dominican Republic	0	0	0	0	0
_75th% case 1-189	San Marino	1	1	1	1	1

Explanation: 1- affects, 0- does not affects

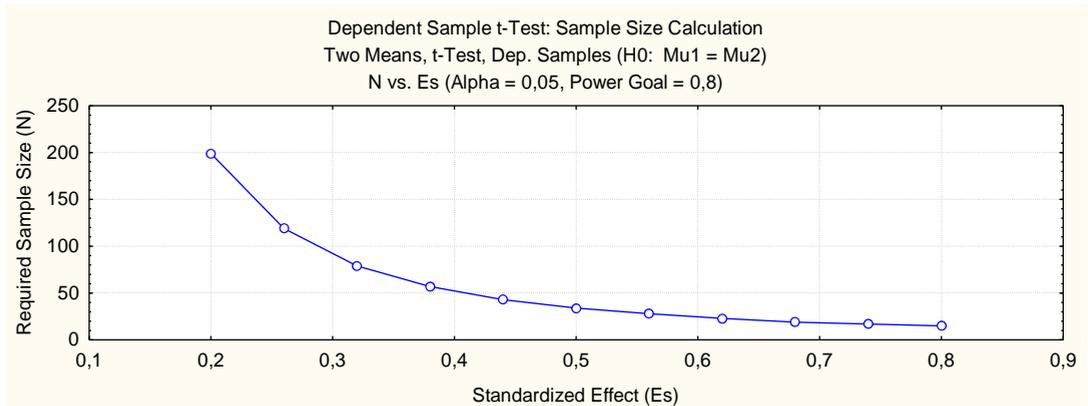
<sup>1</sup> Sala, Shpëtim: Italian-Albanian-Greek Dictionary (Transliteration and Albanian Dictionary ) II, West Print, Tiranë, 2013.

Source: Own elaboration on the basis Doing Business. Equal Opportunity for All (2017). Washington: A World Bank Group Flagship Report, 114-117, 188-192; <http://ec.europa.eu/eurostat/data/database> (September 9, 2017)

On the basis of the data included in Table 2 it may be firmly stated that in such countries as: Lesotho, Kosovo, Afghanistan, Zimbabwe, Dominican Republic and San Marino the influence of cooperation on the development of startups, similarly as previously researched influence of cooperation, was significant with regard to the level of employment, innovation, profitability, the number of customers and business partners. On the other hand, countries such as: the USA, Switzerland, Japan or even China were characterised by increased level of cooperation on the above factors. In these countries the biggest number of startups were registered and at the same time these countries have enhanced level of innovation and as a result profitability, increased level of employment, number of clients and business partners growing every year. Additionally, the analysis and synthesis of this material indicated that in these countries broadly understood cooperation on a massive scale has been developing between big corporations and smaller start-ups.

With reference to the above, taken into consideration the data concerning the influence of cooperation on the development of startups worldwide in 2010-2017 in the context of increasing employment, level of innovation and profitability as well as the number of customers and consequently the number of business partners, to research the influence of cooperation on the above factors, using Statistica programme, *t*-test was conducted for dependent trials where two dependencies were compared in the same way as in the case of cooperation. The data is presented in the graph below (Graph 2)

**Graph 2.** Dependence of standardised effect on competition among startups in 2010-2017



Source: Own elaboration on the basis of Doing Business. Equal Opportunity for All (2017). Washington: A World Bank Group Flagship Report, 114-117, 188-192; <http://ec.europa.eu/eurostat/data/database> (September 9, 2017)

In the context of testing statistical relevance a null hypothesis was formulated stating that cooperation with big corporations does not influence development increase and at the same time the activity of generally smaller start-ups in the context of enhancing employment, innovation level, profitability as well as the number of customers and business partners, what is opposite to what the author wanted to demonstrate. In the analysed case, very small standardised effect amounting to 0.00251692 with the power of test for the required sample size  $N = 188$  on the level of 0.8000 confirms the reliability of alternative hypothesis stating that the condition to increase the influence of cooperation on the development of startups worldwide is intensified cooperation of the researched entities with big corporations.

### Summary

When conducting business activity, a young company faces many legal and economic difficulties which have impact on such aspects as: the level of employment and innovation, generally understood profitability connected with achieving profits of making loss, increased or decreased number of customers and consequently business partners. Therefore, the tool which could help new startups in their activity on international markets is cooperation and competition. The lack of the possibility to finance the activity from the beginning, lack of including in the business plan innovative ideas and necessity to intensely promote products or services are the most common problems which startups around the world have to deal

with on a daily basis. Cooperation connected with coopeition is to facilitate the start to the researched entities by broadly understood cooperation interlaced with competing with big, international corporations.

With reference to the above, on the basis of analysis and synthesis of collected material, the influence of cooperation and coopeition on the development and at the same time the activity of startups worldwide was researched with regard to employment, innovation, profitability, the number of customers and business partners. The conducted research firmly indicate that in such countries as Lesotho, Kosovo, Afghanistan, Zimbabwe, Dominican Republic and San Marino the influence of cooperation and coopeition on the development of startups was very significant regarding the above mentioned factors. However, such countries as the USA, Switzerland, Japan or even China were characterised by bigger influence of both types of tools facilitating start-ups activity on the above factors, all the more that these countries have the biggest number of startups and at the same time they have increased level of innovation and consequently profitability, increased level of employment and growing number of customers and business partners.

T-test for dependent trials was conducted, using Statistica, in which two dependencies were compared: the level of innovation and profitability as well as the number of employed, customers and business partners. In the context of testing statistical relevance a null hypothesis was formulated stating that cooperation connected with coopeition with big corporations does not influence the development increase of generally smaller startups in the context of enhancing employment, innovation level, profitability as well as the number of customers and business partners, what is opposite to what the author wanted to demonstrate. In both analysed cases standardized effect was very small what confirmed the reliability of alternative hypothesis stating that the condition to increase the influence of cooperation and coopeition on the development of startups worldwide is intensified cooperation of the researched entities with big corporations. However, the influence of coopeition on startups activity was bigger than in the case of cooperation because the value of the standardised effect was higher and amounted to 0.00251692 whereas in the case of cooperation it was only 0.00106482. With reference to the above, the conclusion is that competition connected with broadly understood cooperation becomes a bigger motivator in the development of economic activity conducted by startups all over the world.

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## Being Young, Being NEET - A Pedagogical reflexion about Young Adult's condition in Italy

**Roberta Sciannamea**

Università degli Studi Milano-Bicocca

### Abstract

The paper takes in consideration major international research in the field of adult education, critical pedagogy and sociology of education and work, trying to explore the category of "NEET" (Young people Not in Education, Employment or Training) and some of the basic but critical questions that revolve around it. Who are those people? What are their needs and aspirations? What kind of vision do they have about their future? How are these visions affected by "the discourses we live by"? What can pedagogy and education do to help them redefining their life? Questions then becomes practical: what can services do to identify "NEETs" and give them specific forms of aid that can help them in redefine their missed lives? In order to answer these questions, the paper illustrates as an example a social dreaming session that had been carried out inside a Social service with the aim to find successful measures to help those young adults to redesign their reality and approach differently with the world of work. The paper concludes by presenting social dreaming as a possible solution of integration and auto-formation and emphasizes that keeping the attention on people's life histories and desires can be the key to engage young adults and find a way to support them in their personal growth.

**Keywords:** NEET, training, education, groups, pedagogy, social dreaming.

### Introduction

#### NEET: a label's history

Today the word "NEET" has assumed very different connotations and uses, in different contexts and with different ends. It is commonly used to design a (un)specific target of young people and adults (from 15 to 29 years old) who are not involved in formal education and training programme or don't have a (regular) job.

The acronym "NEET" was used for the first time in Great Britain in an official Government Report in 1999, and then progressively adopted by European Community agencies, such as Eurostat and Oecd, as a parameter to targeting and monitoring the level of employment and welfare of the various EU Community Country (Rosina, 2015). One first interesting issue to be notice is that, even if the question of auto-formation and informal learning have assumed a central relevance in the contemporary debate inside Adults Education Sciences, they are not even considered as activities that are actually engaging young adults in their paths of personal education and professional growth.

The high level of mismatch between what is recognised and certified as something that the person has acquired and what are his/her real competences and interests is leaving a huge amount of uncertified knowledge, abilities and skills, almost completely unrecognised and thus often unused, underestimated and unexpressed. Today, national and international agencies are using the word "NEET" as a category to simply quantify the number of young people currently unemployed, making esteems about the level of youth unemployment in every country, trying to quantify the phenomenon's spread to study European Programme and model solutions that can "guarantee" at least soft forms of intervention. Others – animated by a form of critical and social thinking – are instead trying to unpack the category (Recalcati, 2015; Thompson, 2011; Yates & Payne, 2006). The aim, as researchers, is to ask ourselves who are these young adults, typically considered at risk of social exclusion and not-participation, and to analyse the consequences that this negative form of categorisation lay on them and on their capacity and possibility to imagine and to realize themselves in the future.

#### Opening NEET category: understanding the target

In order to "unpack" this category, we need first to understand who are the people that are considered NEET by the European system. Then we need to specify what others criteria we can use to re-group them without making discriminations

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or keep on adding negative marks on them. The risk in this case would be to identify the status of "being NEET" always as a negative situation, conceptually connected to a locus of disadvantage, which in the collective unconscious often includes situations of educational underachievement and drop-out; unemployment; inactivity; poor physical or mental health; disability; substance abuse; parental abuse and crime (Yates & Payne, 2006).

For doing this as educators and as researchers, we need to ask ourselves what remains hidden behind the numbers. We have the duty to ask ourselves and to them what are their life and training histories and why did they ended up being defined by what they are not (educated or trained for a specific technical work) or by what they do not have (a job or an employment). These are crucial questions that every service and agency should take into consideration when studying active policies to help young adults, avoiding waste of useful resources and reducing the risk of organise form of intervention that could not be helpful for those subjects who have complex and profound needs, that goes far beyond the fact of finding a work.

"Subsumed under the 'NEET' label are often very different young people, displaying very different characteristics, facing different challenges, risks and transitions in their lives, and with very different potential needs for intervention. [...] three broad but fairly distinct subgroups of 'NEET' young people were identified [...]: those who were in temporary transitional states that involve a period of being NEET; young parents who make a conscious decision to be NEET for a time to look after their children; and young people who are NEET and who also exhibit a number of complications or 'risks' in their lives (such as being homeless or looked after, engaged in offending behaviour, having emotional and/or behavioural problems, resisting school, etc.). Thus, there is a variety of situations that young people who can be classified as NEET face in their lives. These different situations will bring them into interaction with professional services presenting widely differing packages of needs. The initial point to be made from the research findings, then, is that the 'NEET' classification subsumes a very heterogeneous mix of young people, and this in itself begins to present something of a challenge to the utility of classifying and targeting for intervention young people based specifically on their status as 'NEET'." (Yates & Payne, 2006: p. 332)

One first observation that we could make is that young people who really are in a state of need and at risk of social exclusion can be very difficult to identify, reach, get in touch with and, even more, they are hardly engageable. This can be related to the fact that causes of becoming NEET are often highly complex and almost never detached from a various and widespread condition of fragility that makes them reluctant in accepting help and trusting others, even educators and services (Bertolini & Caronia, 2015).

Also, we can easily observe from the data collected during a year of work on the field – crossed with the last official ones collected and shared by the Italian Toniolo Institute in 2016 (Toniolo, 2016) – how being NEET can become a chronic condition when the young involved adheres to various form of "common-sense knowledge". This kind of discourses stuck the subjects inside their condition, undermining his/her self-esteem and confidence in his/her ability and the possibility to change their situation and to act to build a different future.

But what kind of future do they see? Scholars from different disciplines tried to analyse this phenomenon and the conclusions they reached all agree with one idea: this generation, in which being "NEETs" seems to be a collateral phenomenon but also an almost necessary condition, has been witnessing a change of paradigm. The idea of "Future" itself has changed. It turned from being something characterised by a widespread sense of hope and optimism, where everything could only evolve continually into something better, to be something that scares, with its high levels of uncertainties that block the possibility for young adults even to dare to dream a better future (Borrelli, Carolis, Napolitano, & Recalcati, 2013).

People in need are completely disoriented and confused by the huge amount of different and contrasting news, narrations, discourses (Benasayag & Schmit, 2005) and opinions they are daily and passively buried in and for which they don't have any instruments to re-emerge from. The main feeling that characterise this whole generation is not simply indifference and apathy towards the rest of the world and towards their own future: it is fear (Bauman, 2014). That is why Benasayag and Schmit called these times the "sad passions" era. (Benasayag & Schmit, 2005; Recalcati, 2015). Everyone seems to be submerged in this new liquid version of society, where even relations seem to be loosening their strength and bounds (Bauman, 2002). They are loosening tied and limits, and with them the power and the possibility to contain and give sense and directions to these amounts of discomfoting feelings we are continuously surrounded by (Bauman, 2015; Borrelli et al., 2013).

### **NEET, Institutions and Media: a battle we live-by**

We can easily state how the NEET's condition could also be understood as the final step in a progressive process of disengagement and distrust towards the social system that is strictly intertwined with the educative institutions' crisis (Antonini, 2014; Benasayag & Schmit, 2005; Galimberti, 2007; Recalcati, 2013) and a defeatist form of "common-sense knowledge" (Bernstein, 1999) that daily invades our houses and minds through a wrong use and manipulation of news, declaration and data made popular by low-level mass-media channel. This phenomenon is even more emphasised by social media where the concept of "individual responsibility" of what is said, written and shared is underestimated by users and news, voices and discourses circulate without any kind of control about their reliability (Holiday, 2013; Polletta & Callahan, 2017).

"Powerful computational resources combined with the availability of massive social media data sets has given rise to a growing body of work that uses a combination of machine learning, natural language processing, network analysis, and statistics for the measurement of population structure and human behaviour at unprecedented scale. However, mounting evidence suggests that many of the forecasts and analyses being produced misrepresent the real world (Ruths, Derek & Pfeffer, 2014)".

Passing through these channels, common-sense speeches become viral, not only in the sense that they have an easy and huge widespread, but in a "clinical" sense as well. They almost attack people's minds, bombarding them continuously, like a background noise that never stops and to which we are constantly connected by social media use:

"Technologies of listening impact not only on the ways in which we can connect with others, but also materially influence the ways in which we account for our own subjectivity. Imperatives of attentiveness impinge on all areas of life, but there is also a force of resistance, a point at which individuals can no longer sustain expectations. (Crawford, 2009: p. 532)"

The continued arrival of negative news and common-sense discourses, the uncontrolled and unthought sharing of fragments of personal stories, experiences and life episode are building narrations to which people's unconscious adheres, often leaving them without defences against discourses we all live-by.

### **Working on the field: fragments from history and future**

The question here becomes practical: what can services do to identify and sustain that specific portion of people labelled by the word "NEET" who needs not only help in finding a job or engaging into a professional training path, but needs specific forms of interventions that can help them in redefine their missed lives?

As we already said, these young people can be said to have multiple, deep and very complex problems within which being labelled with their status of NEET can almost be considered as a collateral effect and surely not the first one to paid attention and solved. They could also be considered at high risk of social exclusion and becoming permanently "lost in transition" from school to work, but we could even say from school to world. What these "children of liberty" are missing, are the instruments and the keys to read and codify the hypercomplex reality in which we all live in (Beck, 2000). Flexibility, liquidity and a never-ending changing world that shows images of evolution, wellness and endless possibility (Bauman, 2001, 2002, 2005) that charm people is the same one in which they risk to drown overwhelmed by what Recalcati, citing Lacan, design as "enjoyment" (Borrelli et al., 2013; Recalcati, 2013). This unconscious stunned condition can be designed as one of the main causes of the total lack of future vision and aspiration in a significant part of young adults in needs (De Leonardis & Deriu, 2012).

Even if in the research here presented sampling was purposive, and involved a cohort of only 20 young adults (age 18 – 25) formally considered NEET, and cannot be seen as representative of the general population, we consider the results interesting and worthy to be shared for their consistency and adherence with the contemporary context. Also, we considered it suitable to give a concrete example and a theoretical contribution on social dreaming's use inside the social-educative field.

During our small group session we had the chance to listen to young adults' personal histories, to come in touch with the problems they have to face and to project and promote new forms of learning experiences and educative-reflexive pathways. We want to underline that, as the methodology was primarily qualitative, no claims can be made for generalisation of the findings. However, we consider the data set as effective in providing a picture of the kinds of issues and profound needs that are faced by the young people who are considered at high priorities for intervention.

Causes that may lead to reach the status of being NEET have been analysed and compared towards “fragments of life histories” collected on the field, during the several work sessions placed inside a North Italian Social Service whose first formal aim was training and guiding young adults in finding an employment. Together with the service’s educator, we divided the candidates into three different small groups, mixed up for gender, education level achieved and social extraction. The only things they all had in common was their status as people at high level of social exclusion. Conditions and risk factors that allowed us to consider them as young adults in need where already knew by the social services’ educators and the counsellors working in collaboration with healthcare, penalty and rehabilitation centres.

The methodology and the design of the research were inspired and informed primarily by the long tradition of working with small training groups and organisations inspired by Tavistock Institute’s socio-analytical approach, and authors such as Bion (1961), Miller (1989; 1983), and secondly by West, Bainbridge and Reid’s works, whose researches have opened the way to the use of (auto)biography, narrative and psychoanalysis as sciences that can be legitimately combined within pedagogy and in the developing of educative work on motivation and career guidance and practice (Bainbridge & West, 2012; Reid & West, 2011, 2015, West, 1996, 2014).

We also want to underline that the findings reported here are the result of the pilot phase of a design research that has been slightly re-thought after this first experience, that enforced us to focus on themes that weren’t considered as primary in the first instance.

### **Rational thinking vs life experiences: a battle to fight**

From the very beginning we decided to work with small groups, with the idea that group dynamics would have helped us to have a better understanding of the specific scenario and problems our young adults were facing. At the same time, in our intentions, that kind of training would have gave them the opportunity to exchange personal experiences related both to education/school, and to the researching for a job. Our aim was also giving them the chance to work together on the acquisition of transversal soft skill, like an increased ability to communicate and listening, practising self-acknowledgment and recognition, but also the capacity to work within groups to reach common goals. In other words, we aimed to give them instruments (or at least a tasting of them, since we only had 15 hours per group to work with) to be able to re-enter inside society with a more active and informed approach.

It took only one work session to understand that that kind of work would not be enough for our users. Actually, the risk of creating even more damage to them was very high. They were completely unprepared to sustain all the difficulties and challenges that a training group can bring, even when thought and projected ad hoc. Dynamics were just too powerful to be contained. Phantoms, fantasies and fears prevailed on the rational tasks already in the very first part of the intervention. Fight-flight assumption was so strong that it almost became physical in some occasions, obliging us to stop both training and observations activities. We, as a team, partially knew their background: we had their cv, the consultant of the Service had already encountered some of them for a preliminary colloquium, and we were also enough documented about the local work market situation, but we did not know *them*. We did not know that one girl was diagnostic as psychiatric, suffering for great rage attack and sudden disorientation and loss of personal identity problems. We did not know that five of them were 2nd or 3rd generation child of Muslims immigrant families still not integrated in the Italian society for their own will, or that in despite of the very young age two of them had already have alcoholism past, while other two had drugs problem, which led them first into criminal circles and then in rehabilitation communities. We did not know that the majority of them had been obliged by their eldest to leave school to give an active contribution to the family economy, while their parents spent all their time at home, doing nothing or spending money in alcohol, bets and drugs. And we were not aware that the ones coming from the richest Italian family had abandoned school by their own will, because they thought that school was useless: “it doesn’t give you money or work and neither makes you feel better”.

Pieces of their stories always began to flow into the room ignoring any other work request. We felt disarmed and completely missed out to engage ourselves as a team with something that we could not perceive clearly, but that was uncontestably there. A blind spot that revealed itself as too hard to be fought with in the few hours we had at our disposal and the numbers of goals we should have achieved with them. It was like a big black hole that kept on ingurgitating every rational work proposal and return that to us under the form of undigested flow of thoughts.

Level of frustration, depression, and anger were so high that they were simply uncontainable inside the group context. Instead, level of hope, self-awareness, and trust were so low that any work proposal dropped into nothing. They were so disengaged towards any training activity, so disinterested between each other histories and so distrusted toward what they call “the system” that the only thing they could focus on were very deeply negative feelings. They could not trust the

authority; they could not find any space or opportunity because they felt they had been already abandoned so many times – by the State, by society, by teachers, by their own families, and even by themselves – that even in a protected space where boundaries, activities and proposals had been thought and built specifically for them they could not find their place. The fact that we, as a group, were all qualified to conduct that kind of work, did not save us from colluding with the willing of not wanting to see and not wanting to trust: we were sharing their blind spot (Gosling, 1967).

### **Fight, Flight and Dreaming on**

Here we want to report a small group training session that for us has been representative both for its own contents and dynamics, and for the parallel that it will enable us to do with a social dreaming session, involving the same participants. It will also help us to give evidence of what has been said up until now and to give the reader some vivid material to work on.

To respect the participants and consultant's privacy rights all the names had been changed. The observation data here presented belong to the second encounter of small group 1. During the group working session, the role of the writer was to do silent, non-participant observation and take pencil and paper notes, and to give a feedback at the end of the session to the Service's consultant.

At the beginning of the small training group, since two new participants had showed up, we let time for the boys and girls to present themselves again.

The first one to present himself was Luca. He is 28 years old and says immediately that he could not find a job since 2013: "The last job I've done was as butcher in an industrial slaughterhouse and it...well it destabilized me a bit...". He repeats the word "destabilised" many times, as if he would unconsciously underline it and remind to the presents who already know his history, what happened from 2013 until now. For the record, we will only say that despite his belonging to a very rich Italian family, his intelligence and interest for human sciences, he never finished any kind of school and ended up being an alcoholic, spending two years inside a rehabilitation community, trying to detoxify himself.

Right after him Fadia takes the floor. She is 23 and looks very pretty, both for her aspect and for her manners. She came with her head covered with typical Muslims dresses. She should have already been present in the previous meeting, but the woman for whom she is working illegally did not allow her to come. From very brief parts of conversation, we became aware that her elder brother has also been introduced in a Social Service project, without reaching any success. Fadia instead has a high school diploma as chef's assistant and a certificate that enables her to assist elders. Every time she speaks about her family and brother, her eyes get immediately filled with tears, and she closes herself in silence. We can understand almost immediately how problematic and conflictual is the family context in which the girl lives and how much work would be necessary to help her and give her the possibility to run out of a claustrophobic condition and live a life of her own.

Third in line is Jasmine. She arrived during Fadia's presentation, apologising for the delay and limiting herself to take place into the circle, listening.

Now it's Olga turn. She came back in despite of a physical aggression episode towards Luca that took place during the previous encounter. She does not say much, she only remarks her Rumanian origins and her age. She says she is 24 and that she has done many different jobs in the previous years that helped her a bit. We know that she has not a study title and that she has never worked, but we are also aware of her psychiatric problem so we just let her free to speak. She highlights how demoralising and frustrating it is not been able to find a stable job: "It's really a trauma". She says it making reference to my research and continues saying: "I hope the Govern will do something, I hope in a better word and I hope I will see everyone here happy." She says this to her groupmates, as if she assumed that they are living the same frustrations and pains she is feeling.

Jasmine is the last one presenting herself: "We are the reform ones, the ones that when we tell the name of our high school degree no one understand what we have done. I wanted to go to university, in an economy faculty, but I couldn't. So, I started the great adventure of finding a job. I've also founded an association to teach Italian language to strangers". Jasmine is 19 and looks like a very promising girl, full of initiatives. She is a second generation's son, as Fadia is, but even if she is not carrying a veil she seems more tied to her Turkish origins and to her native country. She, in despite of the discomfort and frustration given by the impossibility of realise her desires, has decided to channel her energies and talents inside an activity that even if not remunerative, gives her some satisfactions and a bit of hope. The same sense of hope that in other group members has left place to a deep rage and sense of discomfort. She is also the first one introducing the theme of

trust into the group: "Everyone is saying us different things about how they're going to help us, what is Youth Guarantee and what we can do with the money and time they are spending for us. I went to many presentations in many different places but I guess I still haven't figured out who am I supposed to trust 'cause everyone is telling it differently! I have to find someone I can trust."

That is the first time the Consultant takes words, to explain how her Service is interpreting Youth Guarantee's boundaries and restrictions, but also how they are exploring its possibilities, adding personal resources and combining it with other minor projects to make it work at best. While listening to her users all looked quite suspicious or even absent. Whereas looking at them I could not free my mind from one single word: interrupted. That was how they all looked to me, like interrupted histories. They all had in their eyes a deep sense of confusion and dismay.

Consultant: "...I'm just asking you, to come here and let me see if you're willing or not. It's very simple to me!".

Olga is sitting next to me, and she is watching the socio-analytical triangle that the consultant has drawn on the whiteboard. She always looks like she is totally absent, annoyed or really bored, but then she suddenly shouts out loud, slamming her hands on the table: "I would like to change everything! I would put the young at the bottom of the pyramid because they are the base! Firms and States must be responsible for them! And if they would take care of them, then they would work more!".

Those words spread inside the group as a wave. Every member seems to agree, and the reason was very easy to understand: Olga's voice was the voice of frustration. You can try to take all the responsibilities on your shoulders, but when you are 19 and have already done 50 jobs interview without any success, like Jasmine had, even if you are smart and well trained, you just cannot hold it anymore. You need to put the blame on someone, and you need to shout it. That was a cry for help that nobody could ignore.

Consultant: "[...] taking care...what does it means for you?"

Olga: "To give more opportunity!"

Luca: "To give more mentoring..."

Jasmine: "A boy that has just finished to study is already lost by himself. In job advertisements they ask so many requisites that they can't stay neither in heaven or hell!"

Consultant: "Could you give us an example?"

Jasmine: "I don't know...like previous experience in the field, having a car, knowing other languages...but, I mean...that's for every proposal! It's non-sense!"

Consultant: "And what kind of proposal would you accept? What kind of work would you want to do?"

Chorus: "Anything!"

That was a very common idea, transversal to any small group, deeply-rooted inside everyone's mind, that the right strategy to get a job was presenting yourself at a job interview and to declare that you are willing to do anything. To accept any job, because the need for having an income is so desperate that they would do anything. The problem is that nobody can do any job without distinction. Nobody can work 8 hours a day, 5 days in a week, making a work that does not fits him/her or that does not reflect at least a part of himself/herself, of his/her dreams and wishes.

And in fact, in the voices of the boy and girls that were speaking, you could clearly feel a desperation and frustration note emerging. They have searched an employment for so long, without any result, that now even hope has gone. But how can you live without hope at that age?

It is on this central focus that the Consultant tries to introduce the Desire theme, but it does not seem to grasp the attention of the users.

Consultant: "Anything it's not true. It's not an option. Every work has its boundaries. This is a factual data. This is reality."

She gives also a certain numbers of very concretes examples of how even the simpler work has its own boundaries, and how we must be able to see and consider them before declaring ourselves willing to accept it. But how can you make people reason upon boundaries, if they do not even know what they would like to do? When we asked them what would be their desire if they could have any job in the world, the answer was always the same: "I don't know...really, anything".

How can you prepare people to do any job? How can you work with them if they can not even put in words their desires and dreams? How can you work on the building of a training project, if you do not know what they want to achieve? Again, the answer is simple, and tragic at the same time: you cannot.

While we were trying to explore these topics we could see the users' reactions changing: from the curious and energetic ones of Jasmine to the completely disoriented and confused ones of Luca and Fadua. At the end there was always Olga, with her level of frustration rising so fast and so high that looking at her was almost painful. She was sitting there in a chorus of snorts, trepidations and sighs, refusing to speak for all the time. But when the Consultant asked them how did they felt, it was her again to cry: "I am suffering!!!".

Olga needs for sure to be helped in a psychological path, but her psychic fragility and her lack of self-containment helped us to see what was going on beneath the group's surface. Dream and Desire could not be put on words for these young adults, because only thinking of them made them suffer. Desire is repressed because it is not realizable and this statement made it intolerable. There is no space for dreaming, no space for illusions. Every potential success becomes a question of luck, like in the movies: "maybe you get the job of a life, and then...". They miss is the capability to stay; staying with themselves and with their own thinking to let a dream free to emerge and give time to a project to be built. These young people are missing the capacity of tolerate the frustration of the waiting. Bion would probably call it "negative capability" (Simpson, 2006). Or maybe, they had just finished their resources to land over in that dark and unknown space that is the time of wait and uncertainty. Like if their negative capability has been eroded by the events that involved them.

After the statement about the film, which remind us a story of "American dream", the consultant takes the chance to tell her personal story, in a very disenchanting manner, without any sense of poetic heroism: real life, not a movie. "You have to build everything for yourselves. Luck isn't an option, everything is included in the project. Everything lays in the ability to keep on holding your dream tight".

But is it possible to try to live a dream when the reality is so frustrating and empty of possibilities? In that way, you suffer. And so, you remain tied up in restrictions. It's a tie that you don't even see, but that ties you up to a certain form of auto-commiseration, where there is no reason to search for other frustrations: their fragile reality is already full of them.

The session is going to end and the Consultant made a proposal: "Next time, we will create something together. Your duty will be not only going in search of 4 job advertisement you would like to answer to, you will also try to build your own firm project".

Everyone remains silent, but the feeling that is circulating is clear: we are asking them an impossible task. And sudden Olga's voice rise, declaring explicitly that she would not do it. Even Fadua seems very scared by the idea of adhering to such a demanding request. Jasmine tries to show herself strong enough, but you could tell by the way she is compulsively writing that the whole thing made her very nervous. Luca just kept silent.

### **Social Dreaming: a bridge to the future**

Small group training sessions went on, but we could not see many changes in the users' attitude. They still looked confused, scared and undetermined. Moreover, we kept on fighting to put them in contact with their desire dimension, that was constantly negated by them.

It was after a very exhausting session, in which awfully images of apocalypse and end of the world came out, that we decided to try something completely different. Since they refused to talk about future, desire and projects in this reality, the only solution to was carry them into another. That is why we decided to try Social Dreaming (Lawrence, 2003; Lawrence Gordon, 2005; Snell, 2010).

Social Dreaming is a group setting that works as a Matrix, ignoring the part of the group dynamics to let the participants able to set themselves into a dimension of pure associations and free thinking. Interpretations of the single and their dreams are denied, to let the creativity process gone freely, letting powerful insight happen. Emotions are the dominant elements of the SD matrix, and the group usually use them to make new connections and reach new levels of awareness.

"In dreaming, these connections between experiences of the day, and life, become auto-associative, linking in diverse, unexpected, and surprising ways to weave a, sometimes bizarre, narrative." (Lawrence, 2010)

This narrative was what we aimed to stimulate in our users. We decided to change the traditional setting, where people are sitting following the snow-flake scheme, and let our users to dispose the chairs as they preferred, trying not to disorient them too much.

Below we are going to present the very first Social Dreaming session, showing how it almost immediately allowed our users to take a jump into the emotional dimension and start to see themselves and express their thoughts and feeling in a completely different way.

The session started between the feeling of uncertainty and scepticism of the users involved, with the holder inviting them to close their eyes and tell their dreams and visual associations freely, trying to stay into a dreamy dimension, without thinking rationally.

Fadua: "when you don't dream, how do you do to dream?"

Olga: "I dream that I'm on a beach, I dream diamonds, sparkling wine, jewels, parties...I would like to live in that dream!"

Luca: "I'm in very crowded place with a friend of mine. There are people drinking and playing and chatting. Then I go in the back of the shop with him and I saw young people making things in group, I don't understand very well what they are doing, it seems like they are doing some esoteric playing, with enchantments, and I think that they are doing it wrong. They are too young to manage those kind of things. One of them says an enchantment wrong and opens an enormous gash behind the table that swallow everyone. I manage to grasp myself to the border, but in the end I decide to let myself fall down inside this dark hole even if I don't know what there is behind...maybe a lake. I fall but I don't find myself in the water. Near me there's an enclosure and I start running following the perimeter because I want to exit from there. While I'm running I see my car on the other side of the enclosure and I see also a man telling me that I'm not out yet. So I jump on the other side of the enclosure and I start running again in the opposite direction."

Jasmine: "I'm on a beach also. I'm in front of the sea and there are two different images, one at the sunset and one at dawn and I am reflecting while I'm looking at the sea. There are a lot of people all around me, but I feel lonely."

Fadua: "I never dream...but I have this dream: I'm stucked between this world, like...the reality world, where you have duties and you cannot dream. The dream is all in the other world, in the infant world, where you can imagine, create and be free and without duties and people to have care to. I feel like I'm closed between these two worlds."

Holder: "When I was a child I often dreamt of being on the Pinocchio's beach, with the wale waiting to eat me into the black see. I'm a nude child, and I run to escape. I cry and shout with all my might, but it's like I'm mute. Nobody hear or see me while I'm searching for help."

Consultant: "Yesterday I dreamt I was on a suspended wood bridge. Behind me there was a river and there was a lot of wind, shaking me while I was crossing the bridge. I had a mandarin in my hand and I was peeling it while crossing, but then the wind shakes the bridge too much and I let fall all the mandarin pieces, and in my hand remains only the peel."

Olga reemerges from the dramy state with a terrible laughter and shouts to the Holder with rage: "At least you have the diamonds! I have them only in my dreams!!!". The Consultant had to intervene to calm down the girl and tried to carry her back again in the suggestion, but time was almost over and reflexions about the experience were needed.

Luca said that "sleeping is like dead time. When you are sleeping and dreaming you are doing nothing, you are just loosing time"

Holder: "But if you don't sleep, you can not survive. Bodies need resting."

Luca: "I often dream that I'm with a guide underwater, and that he takes me to see all the wrecks that are there and I have this strange sensation that I can breathe under water..."

Olga: "I don't have your phantasy. I didn't watched cartoons so I don't have all these images. I dream only reality."

Jasmine: "The images of dreams, even when they are not real, makes you remember of someone and make you...feel him."

Olga: "Is there an age to dream?"

We finished the session with this open question and our users were both dismayed and exited at the same time. They asked us to do it again and so we organised other sessions involving also people from other groups. One data that we can report for sure is that their level of engagement raised a lot even in other training activities that led everyone toward a new path.

## Conclusions

The Social Dreaming session that had been carried out inside the Social service with the aim to find successful measures to help young adults to redesign their reality (Reid & West, 2015) and approach differently with the world of work (Ulrich Beck, 1999) demonstrate in our view that this young people need different type of experiences before starting a rigid training which aims only to throw them in a reality that they would not be able to sustain in any case.

It is indeed possible that a rigidly focused concern with the NEET status of these young people risks to divert the attention from more threatening situations that they are living, which might require more urgent interventions.

This also confirms us that the act of identifying a part of the nation's youth by defining them for what they are not fails to understand the profound differences of their situations, or to take account of the reasons for their being 'NEET' status and the diversified needs for support that they may have.

This is the main reason why we considered Social Dreaming as a possible solution of integration and auto-formation when approaching very hard situations. Working with collective dreams and images, keeping the attention on people's feelings and desires, could be the key to engage young adults in need and find a way to support them in their personal emotional growth, even when they have very different backgrounds and problems.

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## Sociological Dimensions of the FCP Method according to Christian Psychotherapy in Coping with Stress and Suffering

Naum Ilievski, PhD

Assistant Professor, Faculty of Pedagogy, University "St. Clement of Ohrid", Bitola, Macedonia

Angelina Ilievska, MD,

Psychotherapist, Psychiatrist, Private Practice, Skopje, Macedonia

### Abstract

The concept of the Five Control Points, FCP (systematized by the author), is a contemporary approach used in Christian Psychotherapy that arises from a specific personal and spiritual experience under the supervision of a spiritual father—psychotherapist. It enables productive and meaningful overcoming of stress, as well as of the process of suffering, on a personal and wider social level, developing an adaptive social response and effective functioning. This is a descriptive study of the applied FCP method. It consists of five control points based on the Christian spiritual practice (acceptance, thanksgiving, self-discernment, quiescence and prayer). In the classical approaches, dealing with stress occurs on a psychological level by activating the psychological defence mechanisms, the most common: suppression, denial, rationalization. With FCP there is a completely opposite reaction. The intrapsychic process and its dynamics shift in the domain of the spiritual self with phenomenon of positive transformation (metanoia). The FCP method stimulates a creative process of overcoming stress and suffering as a purposeful and useful integrated experience that enhances the capacity of existence by enabling further and continuous personal growth and development. The person maturing through this process is the unifying axis, the peacemaker and the pointer to the positive developmental direction in the family unit, the environment and the society as a wider context. The positive social impact of the concept can be observed by comparing the usual human behaviour and the behaviour of a person trained through the FCP method.

**Keywords:** FCP method, Christian psychotherapy, stress, suffering, defence mechanisms, metanoia, positive social impact

### Introduction

Human existence is the greatest challenge for science, philosophy and the branches of sociology alike. Contemporary psychology imposes new paradigms in its explanation of man's functioning as a whole being. This entails a holistic approach in the interpretation, that is, beside the biological and psychological there is also a spiritual aspect to the whole being. Spirituality has undoubtedly been and will remain "the missing chain" in the scientific interpretation of man and his most profound inner forces.

The primary aim of this study is to offer a description of the FCP method—systematized for the first time by the author—and additionally to carry out its demystification by precise informing and understanding of the significance of spirituality from the viewpoint of Christian Psychotherapy and Christian Anthropology. The emphasis is on the spiritual dimension as a reality to human health and existence in general and as a basis for an overall social wellbeing.

This has already been undeniably and empirically shown in contemporary studies, like the one carried out by the National Institute of Health and Family Welfare (NIHFW), New Delhi, which made a survey in 2011 and pointed out the importance of the fourth dimension of health—the spiritual one beside the other three dimensions: physical, mental and social, defined and constituted by the WHO. *Spiritual health has been defined as a state of being where an individual is able to deal with day-to-day life issues in a manner that leads to the realization of one's full potential, meaning and purpose of life and fulfillment from within. Such a state of being is attainable through self-evolution, self-actualisation and transcendence* (Dhar, Chaturvedi and Nandan, 2011, pp. 275-82).

Indisputable is the relation between the unfavourable life events and the states of stress, suffering and crisis in general. *Stress has been invoked as a cause of major psychopathology, a precipitator or trigger of psychiatric illness, and a contributor to considerable mental anguish* (Dimsdale, Keefe and Stein, 2000, p. 3775).

These states are most often related to a series of unwanted biological and psychological effects, above all, on an individual basis, such as psychosomatic diseases, anxious disorders and depression, which result in a professional, family and social dysfunction. They are also reflected wider and have a far-reaching effect within the family as a primary social structure and further, within the secondary social structures—the working place and the society as a wider social context. *The spirituality and spiritual practices have been shown to have a positive impact on many of these lifestyle diseases* (Dhar, Chaturvedi and Nandan, 2013, pp. 3-5).

This has also been proven empirically in a research study, which is a Master's thesis of the author—*Psychological Aspects of the Process of Loss, Grieving and Overcoming the Loss of a Family Member* (2015). The research was carried out on a sample of 108 examinees that were going through the process of grieving due to a loss of a family member. The examinees were categorized into three groups—believers, nominal believers and atheists, depending on their relation to religion and faith (obeying the church rules, principles, feasts, reading and listening to the Scriptures, Holy Eucharist, FCP method with a prayer).

The basic purpose was to point at the positive impact of spiritual life on one's psychological state, by examining the following parameters: anxiety, stress and depression. The psychological state of the first category of believers that have lost a family member is considerably on a higher level, with a lesser degree of anxiety, stress and depression than the other two groups. Next is the category of nominal believers, and the last is the category of atheists.

The received parameters indicate that the influence of the Church and the depth of spiritual life influence upon the psychological state of the examinees; this influence is statistically significant.

### **Christian Psychotherapy**

The FCP method is the basis of Christian Psychotherapy and Christian practice in a wider sense, which is derived from the two-thousand-year experience of the holy teachers of the Church. It is based on the ascetical-hesychastic struggle (Митрополит Струмички Наум, 2011, pp. 19-20), which is the essence of Christian teaching.

According to the Christian Anthropology, man is both soul and body. The human soul consists of three powers: the rational one, which is the mind, and two irrational, the will and desire. Their center is man's spiritual heart. All of these powers need to function in reconciliation; otherwise, the man cannot be considered mentally healthy. The mind is the rational power by which the man personally and directly communicates with God (the Archetype of good), while the intellect is a secondary function or tool of the mind by which the man communicates with this world. The reconciliation of the primary function of the mind with its secondary function—the intellect, is of an essential importance.

In the Patristic ascetical literature, the cognizant Orthodox spiritual life or struggle in knowledge is developed at three levels of the spiritual growth: *purification of the heart from passions, illumination of the mind and godlikeness*. The level of spiritual growth is determined by the quality of prayer. These teachings have been lost in other Christian denominations.

According to the Christian Psychotherapy, without the reconciled activity of the primary and secondary function of the mind, which comprises the healing of the mind, the development of the human personality and the realization of one's personal identity are not possible (Ilievski, 2015, p. 168).

### **FCP Method:**

Several authors have made an attempt to describe the phases or the stages which man goes through when facing stress and suffering. Mentioned very often is the method according to the psychologist Kübler-Ross (1969, p. 91), described for the first time in her book *On Death and Dying*. The original idea was a detailed description of the stages which a person goes through when facing the terminal phase in fatal illnesses and death (denial, anger, bargaining, depression and acceptance). Afterwards the same stages were used for describing the process which man goes through when grieving and mourning. Many disagree with this systematization and no one can definitely claim that this process is general, unavoidable and always brings a successful resolution in the end.

These five stages undergone by an individual who leads unnatural way of life (soulfulness) are a total opposite to the five control points undergone by a Christian struggler who leads a natural way of life (spirituality), because from experience it

is known that the former, closed in his created and fallen nature, is limited to undergo only the process of suppression, while the latter, because of a graceful and personal union with God, undergoes a process of transformation.

The FCP method is, in fact, the basis of the Orthodox struggle in general. It is ascetical by nature, which means that it is based, above all, on volition and action. It is a dynamic process of activating the deeper volition dynamisms, such as the *rational will*, according to St. Maximus the Confessor, as opposed to the primordial impulses, which are determined by the *natural will* (PG 91, 280a).

### **Description of the Method:**

Each life challenge and trouble (temptation) is correctly overcome in the following way (Metropolitan Nahum of Strumica, 2015):

1. *Acceptance* (accepting it as a gift of God);

The key is in acceptance. He who accepts the temptation correctly has reached the end before setting out on his journey. It is the main turning point as an initial position. A sign that the temptation is accepted as a gift is when without changing itself at all—except our attitude towards it—the temptation becomes to us a source of joy, consolation and grace.

2. *Thanksgiving* (giving thanks to God);

Gratitude as a positive emotional and spiritual state that enables the person an unhindered access to the greatest power of the spiritual self, as well as building a positive and constructive attitude towards various life occasions.

3. *Self-discernment* (self-examining with a humble self-conscience);

Keeping the locus of control to oneself, with an insight into one's own conduct and understanding his role into concrete life situations.

4. *Quiescence* (stillness with a behavioural peacefulness);

Not showing outwardly with some acting that one is being tempted.

5. *Prayer* (not as a battle against temptation, but as a continuous struggle of building union with God).

Prayerfully collecting its energy into God—in the heart, the mind comes to knowledge of God and realizes its own primary function. On the other hand, when scattering its energy through the senses in the world, the mind realizes its secondary function as intellect.

According to the previously said, the man struggles in a free and love manner in order his mind to act, above all, in its primary function—by prayerfully collecting its energy within the heart and prayerfully uniting him with God.

Prayer is also directly related to the coefficient of spiritual intelligence, a notion also defined by the author.

### **Coefficient of Spiritual Intelligence**

*The coefficient of spiritual intelligence is the ability—transformed by God's grace and acquired through a long-lasting struggle and experience derived from it, correctly and quickly to overcome every temptation that is standing before man's development* (Митрополит Струмички Наум, 2015, pp. 62-63).

At a moment of temptation, the weakened mind usually uses its secondary function—overflowed by thoughts, it observes itself (becomes aware of the hurt and changed feelings), thinks about what has happened and how to respond adequately to the new situation—an action that contaminates its energy.

Instead of this, man can try immediately, through prayer, to redirect his energy so that his mind starts functioning in its primary function—an action that is transforming its energy.

We can also measure the time during which the mind, functioning in its primary function, succeeds to calm its overall mental sphere, and especially its conceptual sphere.

### **Dynamics of the Process:**

What does it look like the incorrect facing with unfavourable life situations that cause suffering and crisis?

1. Non-acceptance (manifesting a psychological resistance through the primitive mechanisms of defence—denial, projection), which leads to an intrapsychic conflict;
2. Acting out—showing aggressive impulses through emotions of anger and revolt;
3. Displacement—shifting the intrapsychic conflict to the outwards, which leads to losing the locus of control (Rotter, 1954);
4. Externalization—showing outward changes in behaviour;
5. If any prayer is used, it is understood as a battle against the problem.

Certainly, in order to learn how to act correctly at the moment of temptation it is necessary one to spend time in the struggle of self-enforcing—ascesis.

Ascesis (Greek: ἄσκησις) means a *struggle*, in its etymology—exercise, training. In psychology, ascesis is considered as one of the mature defence mechanisms of personality, “*The elimination of directly pleasurable affects attributable to an experience. The moral elements is implicit in setting values on specific pleasures. Asceticism is directed against all “base” pleasures perceived consciously, and gratification is derived from the renunciation*” (adapted from Vaillant, 1977). It is a man’s active struggle, whose initial position is acceptance as a crucial point that changes the entire intrapsychic process. Namely, more complex, mature psychological mechanisms arise, which have the function of dealing with newly arisen situations (stress, suffering), and not only the more primitive, defence mechanisms in the basis of which arises temporary dealing with the conflict on a suppression level.

It is a more profound process than the usual psychological model of one’s acting while dealing with unfavourable factors, through which only the primitive mechanisms are managed and through which Ego keeps the dynamic equilibrium. With the first control point of acceptance, the dynamics, as well as the essence of the process, is shifted from the psychological level into the domain of spiritual existence—the spiritual self, whose core according to Orthodox Anthropology and Christian Psychotherapy is placed in the *spiritual heart*.

In the second case, there is only temporary restoring of an intrapsychic equilibrium, as opposed to the first. Applying the FCP, the moving energy *Psihe*, from the basic impetuses that are part of human nature, *Survia and Passia*, as named by the American psychologist Fanita English, penetrates into the level of *Transcia* (English, 2006).

Transcendence is the essential spiritual aspect, where the process of the deepest, crucial transformation *metanoia* takes place along with a profound repentance, which brings to a radical change of conscience or change of mind.

It is a crucial process that enables a complete processing of experience, their essential living and integration at all levels of one’s existence. This, in fact, is a continuous process that is the core of the developing cycles, which leads to its utmost self-actualization as a whole being, that is, the spiritual being. More precisely, it is a complete existential realization where man lives the eternal determinedness in *hic et nunc*.

By the correct way of overcoming stress and suffering, one can realize the following—generating positive emotions and pleasant psychological and spiritual states, such as: love, mercy, forgiveness, thankfulness, peace, sharing, with an effect of repentance and mourning as a spiritual joy, not despair or euphoria. In addition, one realizes that the problem is never outside of him, but it is always inside him—in his attitude or relation to everything that happens, and that the only way to change the world around him is to change himself first.

### Spiritual Heart

Central role in the existence of the Christian is his spiritual heart. It is the most powerful source of his being, living and overall existence. It is the eternal *impetus* (Oxford Advanced Learner’s Dictionary, 2005). It is the momentum of a centripetal gathering of the energy—*Psyche* in its primordial center, the spiritual heart. It is a place of the most intimate meeting between God and man, a point of uniting between the created and the uncreated. ***The uncreated energy of God***, that mystical *elan vital* (Bergson, 1911, pp. 87-97), is given to all by the act of Baptism in the Church. This energy is laid in the spiritual heart. The aim of Christian life and existence in general is—through cleansing of the heart from the passions—to activate and actualize the divine uncreated energy, which when manifested in the enough cleansed heart, shows us the ***place of the heart***, and the mind receives the gift of the mind-and-heart prayer. It is this prayer that enables the personal union of man with God (Митрополит Струмички Наум, 2017). According to Paul Pearsall (1998, p. 4), “the heart thinks, cells remember, and that both of these processes are related to an as yet mysterious, extremely powerful, but very subtle energy with properties unlike any other known force.”

### Sociological Dimension of the FCP Method:

The practical application of the FCP method has a useful social impact on man, not only as an individual, but also on a wider scale, as a social dimension of his family and environment in general. According to Erickson's psycho-social development model, the producing of a "widening social radius" (Erickson, 1998, as cited in Sadock & Sadock, 2005, p. 746) by reaching maturity through evolution not only of the emotional-social intelligence (Sadock, Sadock and Ruiz, 2015), but we would add, also by the coefficient of spiritual intelligence" (Митрополит Струмички Наум, 2015, pp. 59-67).

This is reflected in the development of a healthy mental and spiritual welfare, generating positive and useful spiritual values, such as: love, forgiving, reconciliation, readiness to share, quick and adequate overcoming of all life challenges, above all, of the unfavourable ones related to the states of stress and suffering.

The benefits are manifested not only in the subjective psychological welfare, but also such an individual is with a higher level of consciousness, responsibility and productivity within the social context. The continuous personal growth and development through this method enables increasing of one's capacities by means of a pro-social behaviour, that is, he overcomes the limits of his closed intrapersonal world and establishes quality interpersonal relations based on empathy and altruism. In such a way mature and complete personalities that are the unifying axis and a positive social model are created.

Contemporary society is facing a moral crisis and a crisis of values, and more than anytime there is a need of persons who are bearers of such inner coverage, who are the unifying axis, peacemakers and bearers of antinomical leadership.

Thus the domain and the outreach of the FCP method is widened, which—in its essence—is a dynamic and live process that enables a continuous growth and development of personality. This is the essential way of the development model from the perspective of Orthodox Anthropology, defined as *a revelation in the opposite direction* (Митрополит Струмички Наум, 2015, p. 111), where the highest achievement of man is his spiritual realization—the loving union with the divine in his open heart.

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## Labour Market Flows: Evidence for Austria and Croatia

Sanja Blažević Burić

PhD, Assistant Professor Juraj Dobrila University of Pula, Faculty of Economics and Tourism "Dr. Mijo Mirković"  
Preradovićeve 1, 52100 Pula, Croatia

### Abstract

The aim of this paper is to provide a broader theoretical and empirical framework for investigating the labour market dynamics, which is interpreted as transitions of individuals between different labour market states. The contribution of this paper is reflected in the topic's underrepresentation and the fragmentation problem of conclusions that arise from studies that have been conducted so far. The sample encompasses labour market indicators on transition rates between different labour market states for Austria and Croatia in order to address the issue of labour market dynamics adequately and make a comparison between two different countries in respective to their labour market stability. The analysis is focused on determining the nature of labour market flows and their relation to the size of labour market contingents (changes in number of unemployed, employed and inactive people) for the period between 2010 and 2016.

**Keywords:** labour market flows, transition rates, Austria, Croatia, labour market contingents.

### 1. Introduction

The purpose of labour economics, as a scientific discipline, is to understand the functioning of the labour market and the intertwined relationships among many labour market stakeholders. Among the most important (and most popular) indicators of the economy's health are the indicators of employment and unemployment levels. General equilibrium and full employment theory emerged in the very conception of labour economics, when it was sought to establish Walras' societal equilibrium. In 1945, Beveridge interpreted full employment as "unemployment that is reduced to short intervals of standing by, with the certainty that very soon one will be wanted in one's old job again or will be wanted in a new job that is within one's powers" (Gazier, & Schmid, 2002, p. 2). At that time, the importance of unemployment duration and of flows from unemployment to employment and vice-versa has already been noted. The importance of labour market dynamics has been recognized.

The aim of this paper is to provide a broader theoretical and empirical framework for investigating the labour market dynamics, which is interpreted as transitions of individuals between different labour market states. The contribution of this paper is reflected in the topic's underrepresentation and the fragmentation problem of conclusions that arise from studies that have been conducted so far. The emphasis is put on flows in order to obtain further information about the nature of these movements. The sample encompasses labour market indicators on transition rates between different labour market states for Austria and Croatia in order to address the issue of labour market dynamics adequately and make a comparison between two different countries in respective to their labour market stability. The analysis is focused on determining the nature of labour market flows and their relation to the size of labour market contingents (changes in number of unemployed, employed and inactive people) for the period between 2010 and 2016.

### 2. The Importance of Investigating Labour Market Dynamics – Literature Review

The OECD (OECD Glossary) describes flows, in the context of labour market dynamics, as the experience of individuals on the labour market, i.e. transition between three different labour market states – employment (E), unemployment (U) and inactivity (I). Each state can be further decomposed based on specific elements. The labour market is a dynamic phenomenon. If we focus solely on static reporting (stocks), we do not take into account the causes and the background of different labour market conditions, i.e. we do not decompose the state regarding the elements that caused that same state. Conclusions of the session that was organized in 1996 by the International Labour Organization indicate that the labour market dynamics is considered as "measurement over time of changes in the activity status of individuals (employed,

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unemployed and inactive) and of changes in jobs of employed persons - either in terms of persons who have experienced changes; or the duration of completed spells in status or job situations" (Stibbard, 1999, p. 2).

Labour market states change are also interpreted as "labour market bridges" (Kruppe, 2002, p. 280) that can include: (1) transitions between various employment statuses, (2) transitions between unemployment and employment, (3) transitions between education or training and employment, (4) transitions between private and labour market activity, (5) transitions between employment and retirement. Except the analysis of changes between different labour market states, additional analytical and interpretative value is also seen in the domain of a deeper analysis of individuals in a specific status as well as external impact factors.

For example, considering the employment status, we can analyse workers in terms of their demographic characteristics (age, gender, education, marital status, household status, and urbanization level of their living environment), characteristics of their working status (by activity, occupation, working hours, and work experience) but also according to the income characteristics (wage, work satisfaction, dependence on other subsidies).

In the context of unemployment state, given that we know (Detzel, & Rubery, 2002, p. 113) that unemployment risk is unevenly distributed across the population of unemployed based on age, gender, education and occupation, it is possible to decompose the status with regard to the nature/type of unemployment (frictional, structural and cyclical), characteristics of unemployed persons given the existence and persistence of unemployment, unemployment spells, incidence of unemployment, demographic and socio-economic characteristics, causes of unemployment such as quits, lay-offs and discharges (McConnell, Brue, & Macpherson, 2012, p. 544). For example, Borjas (2010, p. 501) identified four profiles of unemployed with regard to the causes for becoming unemployed - job losers, job leavers, reentrants and new entrants.

While analysing the inactive part of the working-age population, we also have different variations due to the reason of their status (discouraged workers, education, housewives, institutionalized) and inactivity duration.

The labour market efficiency measurements based on the static assumptions of workers and jobs homogeneity do not include a complete framework of complex relationships and many influences that affect the constant circulation of labour market stakeholders. "If the interaction between flows and levels is to be captured, an integrative approach is required. This is, however, more easily said than done" (Kruppe, 2002, p. 278) especially due to (un)available statistical databases. Most statistical agencies track the unemployment rate and the number of unemployed at a given point of time, which can underestimate the real nature of the unemployment problem (Borjas, 2010). It is important to observe the relationship between unemployment and employment as well as changes in the status such as unemployment outflow rate or employment inflow rate (Harris, 1996). In a static analysis, it is often considered that the decline in employment causes unemployment to rise but it depends on the participation rate and changes in unemployment outflow/inflow (Stibbard, 1996; Boon, Carson, Faberman, & Ilg, 2008; Ehrenberg, & Smith, 2012, p. 495-530). Each of the mentioned causes requires a specific approach. In the static approach we will notice that in month  $t$  there are  $X$  unemployed persons while in month  $t+1$  there are  $Y$  unemployed persons but the question is what is the ratio between  $X$  and  $Y$  and what happened to the remaining persons. Another fact is that the rate of unemployment of a certain size  $X$  does not mean that for every labour market participant there is a probability level  $X$  of becoming unemployed. In a long-term perspective, labour market status does not assume only values 0 and 1. A person can remain in status 0 for some period and the remaining period he or she can be in status 1 (Akerlof, & Main, 1981). For example "an 8 1/3 percent unemployment rate could be generated by a labor force of which each member is unemployed one month per year, or it could be generated by a labor force of which one-twelfth is unemployed for the whole year. The real-world situation may be expected to lie somewhere between these two extremes" (Akerlof, & Main, 1981, p. 141).

According to Stibbard (1993, p. 3), labour market dynamics covers the following areas: (1) gross flows measuring transitions between labour market 'states', (2) labour and job turnover rates, (3) the creation and termination of jobs, (4) births and deaths of firms and their life cycle, (6) job tenure, (7) job security, (8) frequency and length of periods of unemployment, (9) aspects of labour market flexibility and mobility, (10) the profile of individuals' earnings over a period of time, (11) absences to have or raise children and re-entry to the labour market, (12) the transition from full-time education into the labour force, (13) the move from work into retirement and (14) other.

The complexity of labour market status change is an area worthy of research interest given the heterogeneous nature of the relationships. The value of available but unexplored information "conceals complex and interrelated processes that are important for understanding the causal dynamics that would enable us to make reliable forecasts and sensible suggestions for policy intervention" (Kruppe, 2002, p. 278). In 1996, the International Labour Organization launched an initiative to

establish a methodological framework for the analysis of labour market dynamics and their findings were published in a 1999 report, which accentuated the importance of expanding the labour market statistical coverage and the need to invest more effort in expanding the labour market coverage outside the traditional (static) one (Stibbard, 1999). Alongside the International Labour Organization, other relevant organizations and agencies such as the OECD, Eurostat and the Bureau of Labour Statistics expand labour market indicators but, given the long-standing discussion among scientists on the importance of monitoring labour market dynamics, the current methodological basis is still in the development phase.

Wladimir S. Woytinsky is a pioneer in considering labour market dynamics. At the beginning of the 1940s, when labour economics was at its beginning phase as an independent discipline in the area of economic science, he pointed out the significant results of observing labour market changes and the need for conducting a deeper analysis (Woytinsky, 1942). After Woytinsky, there was a periodical review of labour market dynamics, mainly as a response to new insights and the establishment of new theoretical frameworks in labour economics: relationship between vacancies and unemployment (Beveridge curve), between inflation and unemployment (Phillips curve), the importance of information costs (Stigler), matching function (Holt, David), the existence of labour market frictions (Phelps) and similar models (for more about the history of labour market models see Schettkat, 1996, and Holt, 1996). A series of studies in 1970s published as Brookings Papers on Economics Activity (Perry, 1972; Marston, 1976; Clark, & Summers, 1979) was the first more relevant period of reviewing the importance of monitoring labour market dynamics. In 1980s, the discussion continued through the development of empirical studies on individual economies and such periodic practice continued to this date.

Many papers evaluated labour market dynamics. Examples cover sets of European countries (Ward-Warmedinger, & Macchiarelli, 2013), but also individual countries like Estonia (Haltiwanger, & Vodopivec, 2002), Greece (Daouli, Demoussis, Giannakopoulos, & Lampropoulou, 2015), Italy (Fabrizi, & Mussida, 2009), Germany (Blossfeld, & Mayer, 1988; Gangl, 2003), Portugal (Teixeira, 2001), Slovenia (Haltiwanger, & Vodopivec, 2003; Vodopivec, Laporšek, & Vodopivec, 2016), United Kingdom (Harris, 1996; Gil-Alana, & Henry, 2003; Gomes, 2010), United States of America (Gangl, 2003; Ravn, & Simonelli, 2007; Yashiv, 2007; Finegan, Peñaloza, & Shintani, 2008; Nekarda, 2008), and Pakistan (Arif, Kiani, Sheikh, & Iqbal, 2003). Among the relevant books, we should mention Neumann's and Westgard-Nielsen's (1984) and Schettkat's edited books. More recently, labour market dynamics has been considered in the context of social change and potential problems such as social exclusion that the labour market transition can alleviate (Schmid, & Gazier, 2003).

According to all of the above, the current state in this research area is considered to be exploratory, i.e. efforts are still made to find out distinct insights on labour market dynamics which should receive a greater socio-political consensus. Regardless of more than 70 years of research and a slight progress in implementing the results (expanding the statistical coverage), the impression is that the interpretation is still mainly based on a static representation of the labour market which makes it difficult to implement quality political decisions. Some of the issues that have been recognized in the recent literature (Stibbard, 1999; Wolfers, 2005) which still exist are: low priority of this topic especially among national statistical agencies, lack of a universally accepted framework for labour market statistics, fragmentation and lack of dissemination of labour market dynamics data, lack of time-series data consistency, and seasonal character of labour market variables.

The abovementioned problems, that have an interpretative-analytical-methodological character, precisely represent the contribution of this paper. Analysing patterns of labour market state change and causes that influence the nature and direction of that change will provide a powerful foundation for better understanding of labour market functioning. The universal consideration of labour market problems, such as low employment rate, high unemployment rate or low participation rate, cannot provide targeting and unique solutions. For example, different types of public policies and programs are applied in different types of unemployment and a single solution cannot be expected when the problem is so complex (McConnell, Brue, & Macpherson, 2012: 561). Goal of this paper is to accentuate a need a continuous conduction of the analysis of labour market dynamics in order to reveal what is happening with specific labour market contingents. Although Eurostat did made an effort to upgrade labour market statistics (which data is used in this paper), there is still much room for modernizing. For example, the Bureau of Labor Statistics of the United States has launched three data sources that measure labour market dynamics and contribute in understanding the comprehensive picture of the U.S. labour market - Job Openings and Labor Turnover Survey (JOLTS), Business Employment Dynamics data (BED) and Current Population Survey (CPS). The purpose of these sources is to add new knowledge on the causes regarding certain problems, or to provide assistance in understanding the overall labour market functioning and its relation to business cycles and specific policies (Boon, Carson, Faberman, & Ilg, 2008).

A literature review suggests that labour market dynamics is a current topic with strong research capacity. Numerous studies explore the dynamics in national and international context, while statistical agencies listen to recommendations and

strengthen the labour market methodological framework in order to increase data availability. Labour market dynamics is an internationally recognized topic, but the problem of fragmentation regarding the research findings is very pronounced, and this is another motivating factor to investigate this research problem.

### 3. Labour Market Flows – Evidence for Austria and Croatia

In this research, the purpose of which is to investigate labour market dynamics, two labour markets were selected – the Austrian and the Croatian market. The reason for choosing these two economies lies in their differences in labour market functioning, but also in many existing similarities, such as the legal system and a partly common cultural background. Although Austria has a larger population, we are analyzing two relatively small, geographically close European countries. Economically speaking, Austria is more prosperous country than Croatia (GDP per capita in € per inhabitant for 2013 was 32,200 for Austria and 8,400 for Croatia) but their economic structure does not differ much.

Before we start analyzing the labour market dynamics, i.e. the transition rates between different labour market states of these two countries, it is necessary to describe the size of labour market contingents, as well as to show basic labour market indicators, in order to get a wider context of these two labour markets. Below is an overview of basic labour market indicators followed by an analysis and interpretation of labour market functioning for both countries.

Table 1. Basic labour market indicators for Austria and Croatia (2010:2-2016:4)

Table 2. Changes in labour market contingents for Austria and Croatia (2010-2016)

The Austrian labour market shows greater stability than the Croatian labour market, in which unemployment rate varies greatly from 2010 to 2016 and it is three times higher than that in Austria. The activity rate in Croatia is much lower than the one in Austria, and the situation is the same for the employment rate. Employment and activity rates in Austria show similar patterns regarding their dynamics, while unemployment is stable around 5.5 – 6 %. The Austrian labour market demonstrates positive trends in terms of the size of its contingents. Although the number of unemployed grew significantly, we can presume that it does not present a serious problem because of its character (high dynamics among unemployed, i.e. short-term unemployment), since the active population rose by 6 % in this 7-year period and the number of employed people by 4.4 %.

Croatia has negative trends in all labour market aspects – the number of employees is decreasing, the number of unemployed has been increasing until 2016, and the size of the active population has decreased by 4 %. As the inactive population size decreases, the number of people capable for work also decreases. The reason for these negative trends can surely be found in the economic crisis, insufficient business activity (inadequate number of new job openings) but also in the emigration.

The following graphs and analysis show the transition rates from one particular state (employment, unemployment or inactivity) to a second state (employment, unemployment or inactivity) for the Austrian and Croatian labour market. Thus, there are nine possible combinations – from employment to unemployment (E - U) and inactivity (E - I); from unemployment to employment (U - E) and inactivity (U - I); from inactivity to employment (I - E) and unemployment (I - U); as well as the transition or remaining in the observed state – remaining in employment (E - E), unemployment (U - U) or inactivity (I - I). The transition rate (TR) is calculated as follows:

$$TR_{STATE_1 \rightarrow STATE_2} = \frac{\#(STATE_1 \rightarrow STATE_2)}{\#(STATE_1)} \quad (1)$$

The transition rate is equal to the number of people who made a transition from the first state to the second state divided by the number of people in the first state in the observed period. The following figure shows the average quarterly transition rates between different states on the Austrian and Croatian labour market.

Figure 1. Average quarterly transition rates between different labour market states 2010:2-2016:4

The *unemployment* dynamics reveals the largest difference between Austria and Croatia. The average quarterly transition rate from unemployment to employment is 27.71 % in Austria and 11.17 % in Croatia, which means that in Croatia, 11.17 % of unemployed people become employed in the following quarter, while in Austria this percentage is more than two times higher. In Austria only 51 % of unemployed people remain unemployed in the following quarter, whereas in Croatia, a

much larger share of unemployed people (more than 83 %) remain unemployed, which is not surprising, given the well-known problem of long-term unemployment, where more than half of the registered unemployed people are unemployed longer than one year.

Both countries show employment stability, while a large difference is seen in the transition from inactivity to employment – in Austria 6 % of inactive people become employed, while in Croatia that share is smaller than 2 %. Somewhat greater dynamics can be seen on the relation from unemployment to inactivity in Croatia than in Austria. The same conclusion can be drawn about transition rates from employment to unemployment.

The following figures reveal a more elaborate analysis of average quarterly transition rates between different states (employment, unemployment and inactivity) according to different periods – years (2010 - 2016) and quarters (Q1 – Q4). We will analyze nine different combinations of changes between different labour market states in Austria and Croatia, in order to attain a more detailed context of labour market functioning.

Graph 1. Average transition rates from employment according to different periods (years and quarters)

### **From employment to employment (E – E)**

Austria has a stable transition rate of employed people who remain employed in the following quarter, with slow growth of the transition rate through the years. The total number of people who remain employed in relation to the previous quarter increases by time. Over the observed period, the number of employed people increased by more than 176,000 or by 4.4 %, while the number of people in this state grew by more than 210,000 people or 5.5 %.

Since 2010, the transition rate in Croatia is decreasing, i.e. the number of employed that remain employed is decreasing in reference to the total number of employed people. The number of employees in Croatia decreased by almost 90,000 people or by 5.4 %, while the number of people who were employed and remain employed in the following quarter also decreased by almost 140,000 people or by 8.4 %.

The number of employees in Austria grows but the stability of employment grows more rapidly, while in Croatia the number of employees decreases and the number of employees who remain employed falls faster, which means that the transition rate rapidly falls. The quarterly dynamics is different in terms of the 1<sup>st</sup> and the 4<sup>th</sup> quarter. In Croatia, the 1<sup>st</sup> and the 4<sup>th</sup> quarter are more stable, while in Austria, the 2<sup>nd</sup> and the 3<sup>rd</sup> quarter show higher stability of employment.

### **From employment to unemployment (E – U)**

Austria shows higher stability in terms of the transition from employment to unemployment. Throughout the entire observed period, the rate remains almost unchanged, while in Croatia it has much higher variability. In Austria, the number of people moving from employment to unemployment grew by 4,800 or 9.9 %, but these figures are not impressive in reference to the number of employed people, which also increases. The situation is significantly different in Croatia. From 2010 to 2016, the number of people moving from employment to unemployment has almost doubled, which means that, in 2016, from quarter to quarter, twice as many people move from employment to unemployment (36,250 people) as in 2010. We can observe a low transition rate in the 2<sup>nd</sup> and 3<sup>rd</sup> quarter (less than 1 %), while the 1<sup>st</sup> and 4<sup>th</sup> quarter show quite high transition rates (seasonal effect).

### **From employment to inactivity (E – I)**

In Austria, there is a slow but steady decline in the number of employed who transit towards the inactive part of the population, compared to the total number of employed people (which is growing). In Croatia, the years 2011 and 2016 were significant in terms of moving from employment to inactivity. That can be explained by the impact of the economic crisis (2011) and probably by the rising number of working people emigrating towards more developed European countries (2016). In both countries, the 4<sup>th</sup> quarter has the largest inflow of employees who become inactive.

Graph 2. Average transition rates from unemployment according to different periods (years and quarters)

### **From unemployment to unemployment (U – U)**

During the observed period, in Austria, the number of unemployed people who remain unemployed grew faster in relation to the total number of unemployed people, thus the transition rate continuously increases. Except for the year 2016, Croatia records a quite high share of people who were unemployed and remain that way. In 2016, compared to 2015, the number of people who remain unemployed decreased by 46 %, while the total number of unemployed people fell by more than 21

%, which affected the decline in the transition rate. The decline in the number of unemployed people is certainly under the influence of favorable economic trends, the rising emigration and the exit out of unemployment status of registered unemployed people due to retirement or other reasons.

#### **From unemployment to employment (U – E)**

The transition rate from unemployment to employment in Austria is decreasing over time, while the number of people who transit is stable until 2016, when it grows by 5.4 % to 67,750 people. In Croatia, from 2012, the transition rate grows, with its highest peak in 2016, when the number of unemployed who become employed grows by 14 % to 44,500 people per quarter on average. Since the total number of unemployed declines, it affects the transition rate, which increases.

#### **From unemployment to inactivity (U – I)**

Austria has a relatively stable transition rate from unemployment to inactivity. On average, per quarter, 20 % of unemployed people become inactive. Unfortunately, Croatia has no data available prior to 2016, thus it is not possible to compare the transition rates between the two countries for the entire observed period. In 2016, Croatia has a much higher share of unemployed who become inactive, with the 3<sup>rd</sup> quarter as the most pronounced.

Graph 3. Average transition rates from inactivity according to different periods (years and quarters)

#### **From inactivity to inactivity (I – I)**

Austria is characterized by a stable transition rate from inactivity to inactivity. The number of inactive people who remained in the inactive state has not changed much since 2010. As the total number of inactive people also remained unchanged, the transition rate is quite stable.

In Croatia, we observe a slow decline of the transition rate, which is higher than that in Austria. In 2016 compared to 2015, there was a pronounced drop by 5 percentage points due to a decrease in the number of inactive people who remained inactive by 2.8 % and an increase of the inactive population by 2.7 %.

#### **From inactivity to employment (I – E)**

The transition rate from inactivity to employment has a continuous decline in Austria. There has been a decrease by 24 % to 120,750 people on average per quarter, in 2016 compared to 2010. The transition rate in Croatia, which is much lower than that in Austria, shows higher variability. However, in 2016 there has been a significant jump of moving from inactivity to employment.

#### **From inactivity to unemployment (I – U)**

Throughout the entire observed period, Austria experienced a continuous decline in the transition rate from inactivity to unemployment due to the growing number of people who move between these states, while the size of the inactive population remained relatively unchanged.

In Croatia, the transition rate fluctuates. It grew until 2014, followed by a fall in 2015 and a sudden increase in 2016. The peak in 2016 was a consequence of the large increase (more than 250 %) of the size of the inactive population that transfers towards unemployment, while at the same time the size of the inactive population increases, although at much lower rates.

### **4. Conclusion**

The aim of this paper was to investigate the labour market dynamics of two chosen labour markets – Austrian and Croatian, based on the fact that labour market dynamics is an underrepresented topic and that there are many fragmented conclusions regarding labour market functioning. The emphasis is put on transition rates between different states on the labour market – employment, unemployment and inactivity. The analysis is focused on determining the nature of labour market flows and their relation to the size of labour market contingents (changes in number of unemployed, employed and inactive people) for the period between 2010 and 2016.

In table 3 we summarized the findings on the nature of the transition rates for Austrian and Croatian market.

Table 3. Summary of findings on labour market dynamics in Austria and Croatia

The Austrian labour market shows greater stability than the Croatian labour market, in which unemployment rate varies greatly from 2010 to 2016 and it is three times higher than that in Austria. The activity rate is much lower than that in Austria and the same situation is in regards to the employment rate. Employment and activity rates in Austria show similar trends. While unemployment is stable, the number of unemployed grew significantly

Croatia has negative trends in all labour market aspects – the number of employed people and the size of the active population is decreasing, while the number of unemployed is increasing, except in 2016. However, as the size of inactive population decreases, the number of people capable for work also decreases. The reason for these negative trends can surely be found in the economic crisis, insufficient business activity (new job openings) but also in the emigration.

In Austria, the quarterly transition rate of people who are employed and move towards the other labour market states show positive trends – transition of those who remain employed grows, transition towards unemployment is stable, while the transition to inactivity declines. In Croatia we observe negative trends regarding the unemployment dynamics, which are reflected in the decline of the transition of people from employment to employment; growing transition rate towards the unemployment and the variability of transition towards inactivity.

The number of unemployed people in Austria grows, which affects the transition rate from unemployment to other labour market states. The share of unemployed people who remain in that state, in relation to the total number of unemployed, grows while the transition towards employment declines. The dynamics of employees moving towards the inactivity remains stable throughout the entire observed period. For Austria, unemployment dynamics shows somewhat worrying results because of its worsening over time. In Croatia, unemployment dynamics reveals different patterns in 2016 when the transition towards unemployment declines and towards employment grows. These positive figures are the result of the significant reduction in the number of unemployed due to positive economic trends but also due to some negative phenomenon such as high emigration numbers.

The inactivity dynamics shows similar patterns for Austria and Croatia although the transition rates in Croatia for all three labour market states reveal more negative trends than those in Austria. Transition rate of people who were inactive, and remain in that state, is stable over time in Austria. In Croatia, we see a decline in 2016 due to the growing number of inactive people. The transition towards the employment declines in Austria while in Croatia shows high variability. Number of inactive people, moving towards unemployment, grows both in Austria and Croatia. These findings reveal that the dynamics of inactive people also seems to be worrisome for both labour markets.

The labour market dynamics is a current topic with strong research capacity. We hope that we accentuated the importance of implementing the findings regarding the labour market dynamics. Main goal was to reveal a wider picture of labour market trends and to move away from the superficial statistical labour market indicators.

## Acknowledgment

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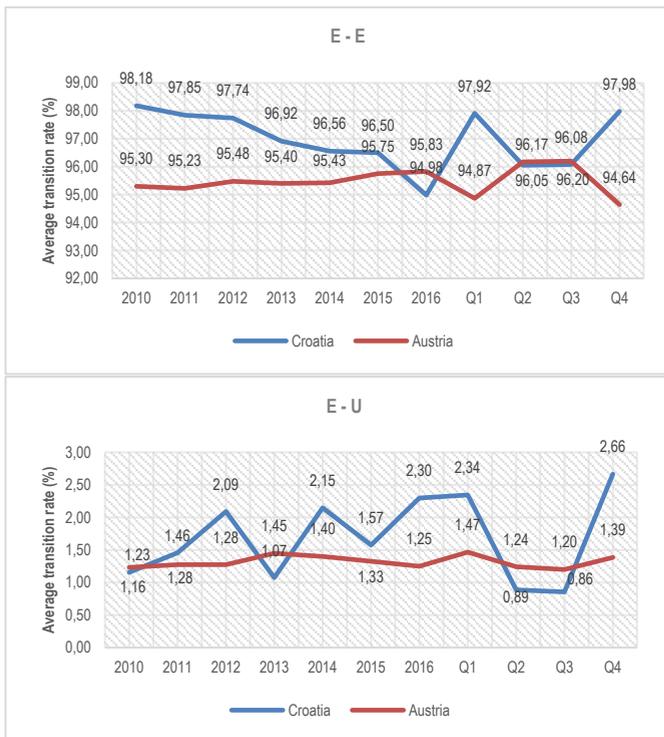
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**Footnotes**

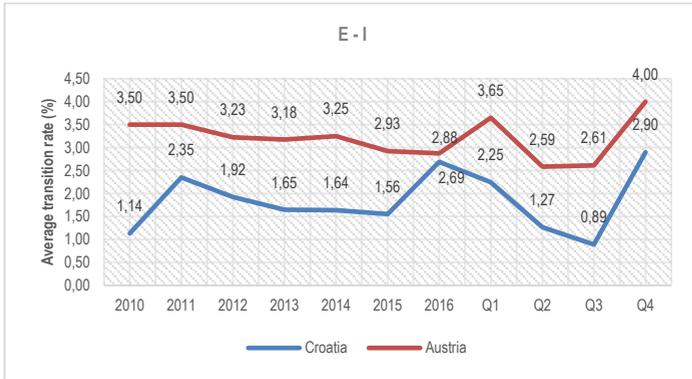
Analysis of national accounts shows that the distribution of gross value added per sectors is quite similar between Austria and Croatia.

**1Graphs**

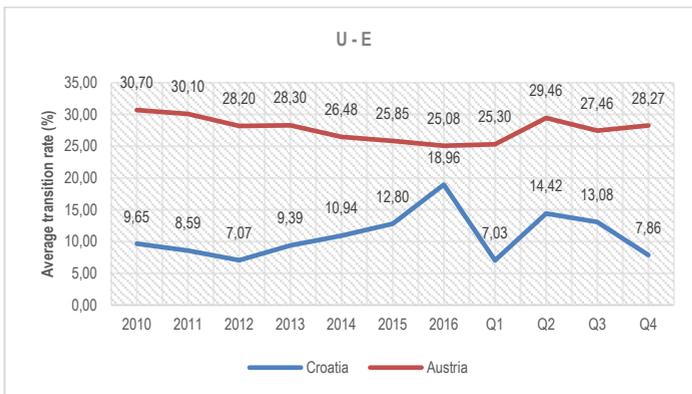
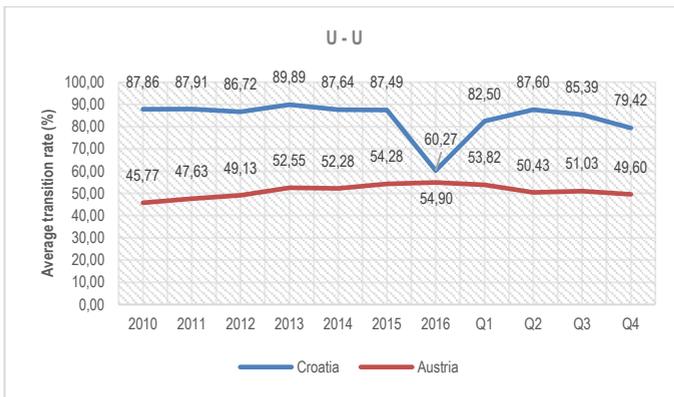
Graph 1. Average transition rates from employment according to different periods (years and quarters)\*

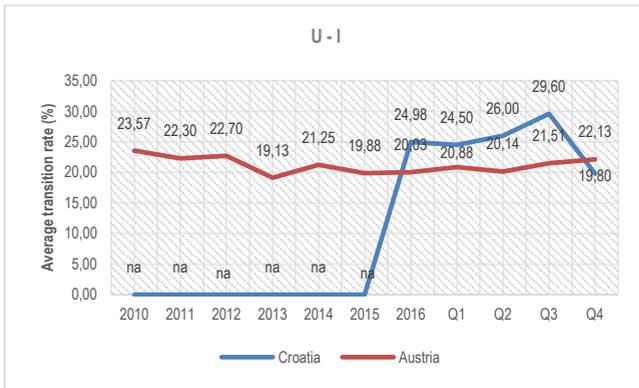


\*SAA is ratified by the Albanian Parliament by Law no. 9590 dated 27 July 2006 "On the ratification of the Stabilization and Association Agreement between the Republic of Albania and the European Communities and their Member States", published at the Official Gazette of the Republic of Albania N° 87, dated 14.08.2006.

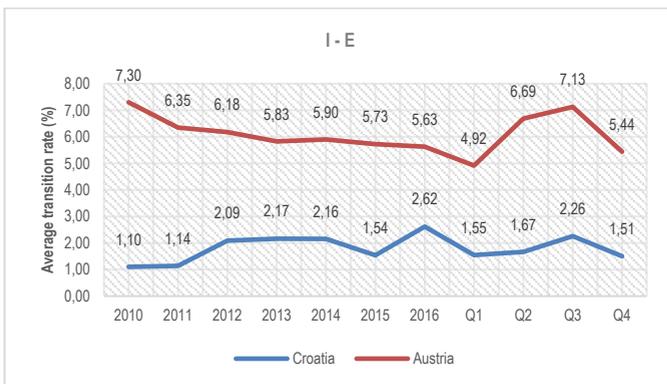
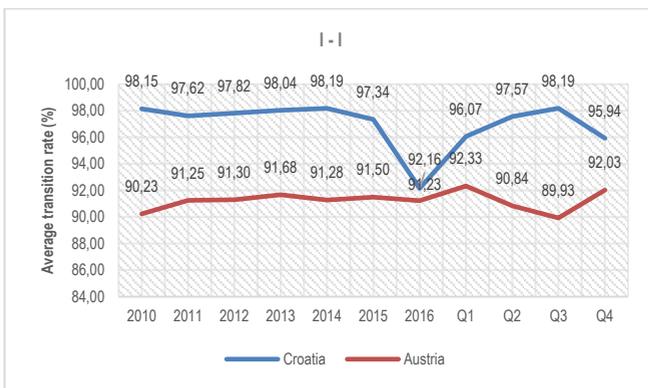


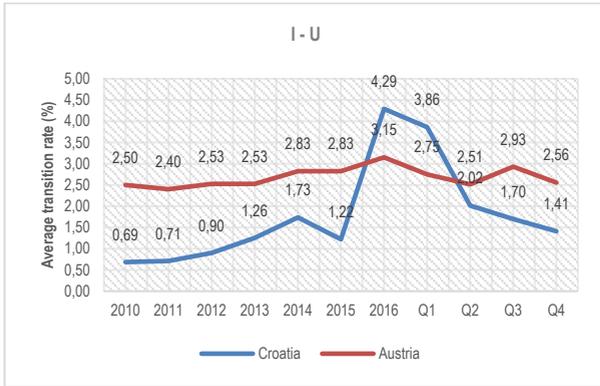
Source: Author according to Eurostat database, retrieved from: <http://ec.europa.eu/eurostat/data/database>. \* E - employment, U - unemployment, I - inactivityGraph 2. Average transition rates from unemployment according to different periods (years and quarters)\*





Source: Author according to Eurostat database, retrieved from: <http://ec.europa.eu/eurostat/data/database>. \* E - employment, U - unemployment, I - inactivityGraph 3. Average transition rates from inactivity according to different periods (years and quarters)\*

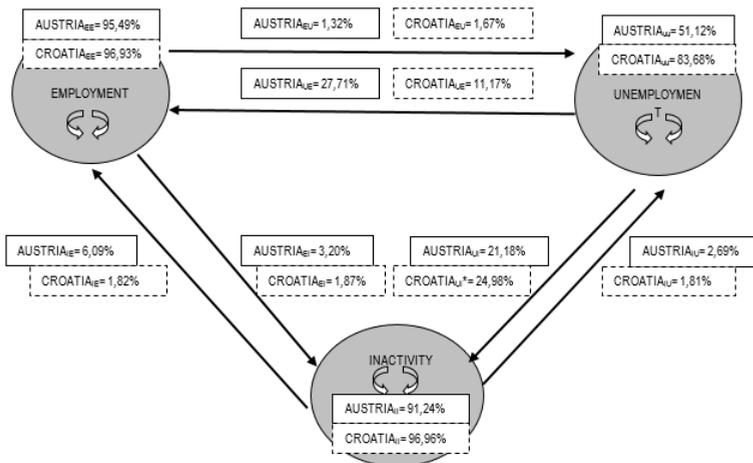




Source: Author according to Eurostat database, retrieved from: <http://ec.europa.eu/eurostat/data/database>. \* E - employment, U - unemployment, I - inactivity

### Figures

Figure 1. Average quarterly transition rates between different labour market states 2010:2-2016:4



Author according to Eurostat database, retrieved from: <http://ec.europa.eu/eurostat/data/database>

### Tables

Table 1. Basic labour market indicators for Austria and Croatia (2010:2-2016:4)

Indicator	Austria	Croatia
Average employment rate	63,17%	48,76%
Average unemployment rate	5,30%	15,20%
Average activity rate	66,70%	57,50%

Source: Author according to Eurostat database, retrieved from: <http://ec.europa.eu/eurostat/data/database>

Table 2. Changes in labour market contingents for Austria and Croatia (2010-2016)

Indicator	Austria		Croatia	
	Growth 2016/2010	Average size in 2016	Growth 2016/2010	Average size in 2016
Population capable for work	+ 3,76 %	6 606 540	-2,89 %	3 191 720

Active population	+ 6 %	4 473 730	- 4 %	1 826 830
Inactive	+ 0,33 %	2 138 430	- 2,62 %	1 358 030
Employed	+ 4,4 %	4 203 700	- 5,4 %	1 587 080
Unemployed	+ 36 %	270 030	+ 6,85 %	239 750

Source: Author according to Eurostat database, retrieved from: <http://ec.europa.eu/eurostat/data/database>

Table 3. Summary of findings on labour market dynamics in Austria and Croatia

Transition states (From – To)	Austria	Croatia
E - E	Growth	Decline
E - U	Stable	Growth
E - I	Decline	Fluctuating, peak in 2011 and 2016
U - U	Growth	High and stable until 2015, decline in 2016
U - E	Decline	Growth
U - I	Stable	Higher than Austria (2016); no data before 2016
I - I	Stable	Stable, decline in 2016
I - E	Decline	Fluctuating, growth in 2016
I - U	Growth	Growth, especially in 2016

E - employment, U - unemployment, I – inactivity

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## Industrial Property Rights in Albania - Challenges and Perspective.

Enejda SHYTI

Albania

### Abstract

Albania is a country with nearly 100 years of tradition in the area of Intellectual Property. The first traces date back to the 1920s with the registration of the Trademark "Hobdari". There are archival resources that let us know that Albania can worthily rank alongside countries in the region, as a country where the importance of protecting IP rights has its strands since the beginning of the 20<sup>th</sup> century. Intellectual Property's protection and especially industrial property rights' are important issues linked directly with development of a country. But nowadays this issue is no longer just a matter of a country, but it is an integral part of the regional and international developments. The Industrial Property is one of the most important issues and it is taken into consideration as such by the relevant Albanian authorities. Improving the legislation on this area is one of the most important commitments undertaken in the framework of the Stabilization and Association Agreement (SAA). Actually the IP protection is provided through the adoption of the relevant legislation in this sector, as well as through the establishment of the appropriate mechanisms that implement the legislation. The protection of Industrial Property is even the purpose of national strategies that crown the efforts of the Albanian authorities for the establishment of a comprehensive dialogue and cooperation between different actors and institutions in this area. This paper covers issues regarding the relevant legislation on industrial property rights, its approximation with EU Directives, as well as strategies, International Treaties and Conventions in which Albania is a member. The protection of industrial property rights is a challenge that requires many efforts and serious engagement of all actors involved in this sector.

**Key words:** Industrial Property, strategies, legislation, bylaw, Albania.

### 1. Introduction

The enforcement and implementation of the Intellectual Property's rights is a fundamental element for the development of fair competition in every aspect of a country's social and economic life. The Article 27 of the Universal Declaration of Human Rights<sup>1</sup> foresees that: "*Everyone has the right to the protection of the moral and material interests resulting from any scientific, literary or artistic production of which he is the author.*"

Piracy is an unfair form of competition that undermines the interests of authors and the other owners of IP rights'. Piracy risks provoking international countermeasures on trade and it places in an unfavorable economic position those who act in accordance with law, as well as hinders the normal development of the market economy. The Albanian respective authorities are aware of the fact that the effective implementation of intellectual property rights and especially industrial property rights is an essential element for further social and economic progress. It also affects the level of competitiveness of the country in the international market, as well as guaranteeing a fair competition environment in the national market. Respecting IP rights provides optimum conditions for absorbing foreign investments in the country and it is a cornerstone in the process of integration to European Union. Two of the key documents that define the strategic priorities in IP rights are European Partnership Document (EPD) and Stabilization and Association Agreement (SAA)<sup>2</sup>.

Being a member of European Union is considered a priority of the Government of the Republic of Albania (GoA) for almost two decades. Actually, as EU candidate country, Albania has to fulfill a certain number of obligations and commitments that

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<sup>1</sup>Referring to the Universal Declaration of Human Rights (1948), page 7, <http://www.un.org/en/universal-declaration-human-rights/>.

<sup>2</sup>SAA is ratified by the Albanian Parliament by Law no. 9590 dated 27 July 2006 "On the ratification of the Stabilization and Association Agreement between the Republic of Albania and the European Communities and their Member States", published at the Official Gazette of the Republic of Albania N° 87, dated 14.08.2006.

are part of SAA. Their fulfillment is considerably important, that's why most of these commitments are foreseen in sectoral<sup>1</sup> strategies, as well as they are supported by the relevant legislation. In the framework of human rights' protection, which is one of the most important governmental priorities', intellectual property rights and especially industrial property rights' protection are considered as important issues. The main objectives in the Industrial Property Rights' area, defined as priority targets within the commitments undertaken in Articles 70 and 73 of the Stabilization and Association Agreement (SAA), as well as the Government's program for European integration are described as follow:

- Providing the same level of protection of the industrial property rights, as in the European Union;
- Increasing the awareness of the business community on issues of Industrial Property Rights;
- Increasing the awareness of the implementing institutions in the sector, including even the judicial system.

These objectives are considered very important. Following them, some activities are foreseen to be developed in the future. These activities are part of an ongoing process that is permanently monitored by the competent authorities. They include, as follow:

- Approximation of national legislation of the European Union's Acquis Communautaire in this sector;
- Membership in treaties, conventions and international agreements in the area of industrial property;
- Enforcement of the General Directorate of Patents and Trademarks and the establishment of an appropriate administrative infrastructure;
- Improving the implementation of the legislation on industrial property in Albania;
- Capacity building and developing human resources specialized in the industrial property's area;
- Transparent cooperation between the institutions and organizations involved in the system of industrial property protection;
- Enhancing public awareness on the importance of industrial property rights.

As can be seen from above, some activities cover issues regarding the enforcement of the legislation and its approximation with EU Directives, as well as improving this legislation by being part of the Treaties and International Agreements in the Industrial Property's area. The question rose: Are these commitments achieved during last years?

## **2. Legislation on Industrial Property Rights.**

The protection of the Industrial Property System in the Republic of Albania is ensured by the national legislation as well as on the Treaties and International Conventions in which the Republic of Albania is a member. Albanian legislation on Industrial Property Rights is compound by the internal legislation, i.e. laws approved by Albanian parliament and bylaws approved by the Council of Ministers and other relevant institutions in the sector, as well as International Agreements and Treaties that are signed by Republic of Albania and ratified by law. After the process of ratification, these treaties and conventions become part of the internal legislation.

### **2.1. Albanian legislation on Industrial Property Rights – short overview.**

Aiming the fulfillment of the commitments undertaken in the framework of the Stabilization and Association Agreement, the Albanian respective authorities have drafted, approved and amended several laws and bylaws, whose purpose is regulating the legislative framework on the industrial property rights' protection.

The first law approved by the Albanian parliament is Law N° 8488, dated 13.05.1999 "On the Protection of Integrated Circuits Topographies"<sup>2</sup>, (as amended). After the last amendment at 2014, this law was considered as fully approximated with Acquis Communautaire. The provisions of law offer protection to Integrated Circuits, which are the final or intermediate form of products that perform the execution of electronic functions, wherein at least one of the elements is active and one or all of the intermediate elements are integrally incorporated in the material or part of the material, inside or outside of the material itself<sup>3</sup>. The right to protect topography is guaranteed to all creators. When the topography is created as a result of

<sup>1</sup> National Strategy on Intellectual Property (NSIP).

<sup>2</sup>Law N° 8488, dated 13.05.1999 "On the Protection of Integrated Circuits Topographies" is amended twice, by law No. 9957, dated 17.07.2008 and law N° 66, dated 26.06. 2014;

<sup>3</sup>Referring to Article 1/1 of Law N° 8488, dated 13.05.1999 "On the Protection of Integrated Circuits Topographies". (as amended);

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the creator's work or on the basis of an order, the right to protection is guaranteed in favor of the creator's employer or the person who gave the order, except when otherwise contracted<sup>1</sup>.

Law N° 9947, dated 7/7/2008 "On the Industrial Property" (as amended), was the first legal act that covered areas such as competition, IP rights' enforcement and related rights, genetic resources, geographical indications, industrial designs, IP regulatory bodies, patents (inventions), plant variety protection, trademarks as well as utility models. Law N° 9947/2007 (as amended) has also specific provisions on issues related to the violation of Industrial Property Rights, procedural issues related to judicial proceedings, including the right to obtain information, regulation on precautionary orders and measures at border crossing points, European patent filings extended to Albania, as well as certificates for additional protection for pharmaceuticals' and plants' agents.

This law even though was considered as approximated with the *Acquis Communautaire*, didn't meet the recommendations of the European Commission<sup>2</sup>, which were expressly based on a certain number of important issues raised by the rights holders, such as drafting criteria for well-known brands, IP's experts in the courts, as well as other issues regarding the improvement of the examination's quality, online applications and strengthening the administrative capacity of the General Directorate of Patents and Trademarks (DGPT).

Upon the stakeholders' continuous requests, the law has been amended several times. The last one is the amendment by Law no. 17/2017, which entered in force in March 2017. Approving the last amendment, some issues are legally solved, such as: facilitation of the examination procedures, establishment of a legal environment for the improvement of electronic and communication services, setting the on-line application to facilitate the procedures; establishment of the legal basis for providing IP facilities, as well as for their use as collateral; setting up some procedures and competences of DGPT, based on the national and international law enforcement practices in the IP area, as well as the criteria for well-known brands; establishment of the legal basis for the licensing process of IP experts by the General Directory of Patents and Trademarks (DGPT), based on the needs of judicial and investigative processes, as well as other important issues rose by stakeholders.

The law N° 9947, dated 7/7/2008 "On the Industrial Property" (as amended), as well the Regulations related with it, are fully approximated and aligned with:

- European Patent Law Convention (EPC 2000);
- Directive 98/44/EC "On the legal protection of biotechnological inventions"<sup>3</sup>;
- Directive 98/71 / EC "On the Legal Protection of Industrial Designs"<sup>4</sup>;
- Directive 2008/95/EC of the European Parliament and Council of Ministers "On the approximation of the legislation of the Member States on patents"<sup>5</sup>;
- Directive 2004/48 / EC of the European Parliament and Council of Ministers "On the Protection of Intellectual Property Rights"<sup>6</sup>;
- Directive 89/104 / EEC "On Trade and Services Markets"<sup>7</sup>;
- Council Regulation (ECE) N° 1768/92, dated 18 June 1992 "On the Establishment of an Additional Certificate for the Protection of Medical Products"<sup>8</sup>;

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<sup>1</sup>Referring to the Article 3 of Law N° 8488, dated 13.05.1999 "On the Protection of Integrated Circuits Topographies", (as amended);

<sup>2</sup>Referring to the Assessment Report of European Commission of November 2013;

<sup>3</sup>Directive 98/44 / EC "On the legal protection of biotechnological inventions", Celex: 31998L0044, Official Journal of the European Union, Series L, no. 213, dated 30.7.1998;

<sup>4</sup>Directive 98/71 / EC "On the Legal Protection of Industrial Designs", Celex: 31998L0071, Official Journal of the European Union, Series L, no. 289, dated 28.10.1998;

<sup>5</sup>Directive 2008/95 / EC of the European Parliament and Council of Ministers "On the approximation of the laws of the Member States relating to patents", Celex: 32008L0095, Official Journal of the European Union, series L, no. 299, dated 8.11.7.2008;

<sup>6</sup>Directive 2004/48 / EC of the European Parliament and of the Council "On the Protection of Intellectual Property Rights", Celex: 32004L0048, Official Journal of the European Union, Series L, no. 157, dated 30.04.2004;

<sup>7</sup> Directive 89/104 / EEC "On Trade and Services Markets", published on the Official Journal of the European Communities No L 40, 11.2.1989, p. 1;

<sup>8</sup>Council Regulation (ECE) N° 1768/92, dated 18.06.1992 "On the Establishment of an Additional Certificate for the Protection of Medical Products", published at the Official Gazette L 182, 02.07.1992, p. 0001 - 0005).

- Regulation (EC) N° 1610/96 of the European Parliament and of the Council of 23 July 1996 "On the Establishment of an Additional Certificate for the Protection of Plant Protection Products"<sup>1</sup>;
- Council Regulation (EC) N° 6/2002, dated 12.12.2001 "On Community Designs"<sup>2</sup>;
- Council Regulation (EC) N° 40/94, dated 20.12.1993 "On Community Crafts"<sup>3</sup>;
- Council Regulation (ECE) N° 2081/92, dated 14.07.1992 "On the protection of geographical indications and designations of origin of agricultural products and foodstuffs"<sup>4</sup>;

From 2009 to 2016, a full package of bylaws was approved by Council of Ministers, as well as by the Minister of Economy, Trade and Energy<sup>5</sup>. Even more during recent years a series of initiatives are undertaken to improve the general legal framework that was directly related to IP protection. So the approval of the Law n° 108/2014, dated 31/07/2014 "On State's Police", the adoption of Law N° 135/2015, dated 05/12/2015 "On some amendments and additions to Law n° 7895, dated 27/01/1995," Criminal Code of the Republic of Albania"<sup>6</sup>, (as amended), the approval of Decision of Council of Ministers N° 1090, dated 28/12/2015 "On some amendments to the Decision N° 205, dated 13/04/1999 "On approval of the implementing provisions of the Customs Code" (as amended) reinforced the legal provisions on different aspects, dealing with IP rights' protection.

It is important to highlight that pursuant to TRIPS' commitments, the provisions of the Criminal Code on Industrial Property Rights violations' have been improved. In 2012, the Albanian Parliament approved some amendments on the Law N° 7895, dated 27/01/1995 "On the Criminal Code of Republic of Albania" (as amended)<sup>6</sup>. As a consequence of these amendments, two separate Articles (149 /a & 149 / b) entered into force. They pave the way for the State Police (Directorate for Economic and Financial Crime), in carrying out procedural actions mainly in the crackdown on criminal activity on the violation of industrial property rights.

## 2.2. The membership on the International Agreements and Treaties on Industrial Property Rights'

According to Article 122/1<sup>7</sup> of the Constitution of the Republic of Albania (as amended), any international agreement that has been ratified constitutes part of the internal juridical system after it is published in the Official Journal of the Republic of Albania. At the same time the Constitution provides to an international agreement that has been ratified by law, superiority over laws of the country that are not compatible with it<sup>8</sup>.

<sup>1</sup>Regulation (EC) N° 1610/96 of the European Parliament and of the Council of 23 July 1996 "On the Establishment of an Additional Certificate for the Protection of Plant Protection Products", published at the Official Gazette L 198, 8.8.1996, pp. 30-35;

<sup>2</sup>Council Regulation (EC) N° 6/2002, dated 12.12.2001 "On Community Designs", published at the Official Gazette L 198, 8.8.1996, pp. 30-35;

<sup>3</sup> Council Regulation (EC) N° 40/94, dated 20.12.1993 "On Community Crafts", published at the Official Gazette L 11, 14.01.1994, pp. 1-36.

<sup>4</sup> Council Regulation (ECE) N° 2081/92, dated 14.07.1992 "On the protection of geographical indications and designations of origin of agricultural products and foodstuffs", published at the Official Gazette L 208, 24.07.1992, p. 0001 – 0008;

<sup>5</sup>Referring to Decision of Council of Ministers (DCM) N° 1706, dated 29.12.2008, "On the approval of the Regulation for the Registration of Trademarks and Service"; Decision of Council of Ministers N° 1707, dated 29.12.2008, "On the approval of the Regulation "On the issuance of patents for inventions and utility models"; Decision of Council of Ministers N° 381, dated 08.04.2009, "On the approval of the Regulation "On the Recording of Industrial Designs"; Decision of Council of Ministers N° 883, dated 13.05.2009 "On the approval of tariffs for the registration of industrial property"; Decision of Council of Ministers N° 760, dated 01.09.2010, "On the approval of the National Strategy on Intellectual and Industrial Property, 2010-2015"; Decision of Council of Ministers N° 526, dated 20.07.2016 "On the approval of the National Strategy on Intellectual and Industrial Property, 2015-2020"; Decision of Council of Ministers N° 36, dated 01/20/2016 "On the establishment, organization and functioning of the State Inspectorate of Market Surveillance" and the Order N° 691, dated 21/08/2013 of the Minister of Economy, Trade and Energy, "On the approval of the internal regulation of GDP";

<sup>6</sup>Law N° 144 , dated 02.05.2012 "On some amendments to the law N° 7895, dated 27.1.1995 "On the Criminal Code of Republic of Albania", (as amended);

<sup>7</sup>Article 122/1 of Constitution of Republic of Albania foresees: "Any international agreement that has been ratified constitutes part of the internal juridical system after it is published in the Official Journal of the Republic of Albania. It is implemented directly, except for cases when it is not self-executing and its implementation requires issuance of a law. The amendment, supplementation and repeal of laws approved by the majority of all members of the Assembly, for the effect of ratifying an international agreement, is done with the same majority."

<sup>8</sup>Article 122/1 of Constitution of Republic of Albania foresees: "An international agreement that has been ratified by law has superiority over laws of the country that are not compatible with it."

Currently, Albania is a member country of both WIPO and the EPO, and it also has the observer's status at the EUIPO. Republic of Albania has also signed the most important International Agreements and Conventions on IP protection. The benefit is reflected in ensuring a more secure IP protection's system. As a result, the country's economy is going through improvements, a consolidated market and the fair competition is in ongoing process, as well as the foreign investments are increased. It's also noticeable the added value to the capital of companies, new technologies implemented in national industry and the growth of the national products' export<sup>1</sup>.

As it is highlighted at the Annual Report 2016 of the General Directory of TradeMarks and Patents<sup>2</sup>, Republic of Albania is a member of the most of the Treaties and International Conventions on Intellectual Property Rights, and especially on Industrial Property Rights. In 2013, Albania has ratified the London's Agreement on the application of Article 65 of EPC. This was an important step, because it simplified the procedures on European patent's protection. However, though Albania is a member of many international agreements at the Industrial Property area, it has not yet ratified Vienna Agreement "On the establishment of an International Classification of the Figurative Elements of Marks" (1973), Locarno Agreement "On the International Classification of Industrial Designs" (1963), Lisbon Agreement for the Protection of Appellations of Origin and their International Registration (1958), as well as the Geneva Act on the Lisbon Agreement (2015). These are set as important objectives to be achieved in the framework of the IP Strategy 2016-2020.

Actually, Albania is a member of these Treaties and International Agreements on Industrial Property Protection, as follow:

- Treaty of Budapest for the International Recognition of Microorganisms' Deposit, for the Purposes of the Patent Procedure (1977)<sup>3</sup>;
- Strasbourg Agreement on the International Classification of Patents, 1979<sup>4</sup>;
- European Patent Convention of World Intellectual Property Organization (WIPO)<sup>5</sup>;
- London Agreement on the Application of Article 65 of the European Patent Convention (2000)<sup>6</sup>;
- International Convention "On the Protection of New Varieties of Plants" (1961)<sup>7</sup>
- Hague Agreement on International Registration of Industrial Designs, 1960;<sup>8</sup>
- Hague Agenda for International Registration of Industrial Projects, 1960;
- Geneva Act of the Hague Agreement on International Registration of Industrial Projects and Regulations Relating to the Geneva Act (1999);<sup>9</sup>
- Madrid Agreement on the International Registration of Trademarks (1989);<sup>10</sup>

<sup>1</sup> Annual Report 2016, General Directory of Patents and Trademarks, Page 64;

<sup>2</sup> On 25.03.2017, Law N° 17/2017, dated 16.02.2017 "On Some Additions and Amendments to Law N° 9947, dated 07.07.2008 "On Industrial Property", as amended, has entered into force. One of articles of the above-mentioned law has amended the title of the General Directorate of Patents and Trademarks to General Directorate of Industrial Property.

<sup>3</sup>Ratified by Law N° 9031, dated 20.03.2003 "On the accession of the Republic of Albania to the Treaty of Budapest for the International Recognition of the Deposition of Microorganisms, for the Purpose of the Patent Procedure", published in Official Gazette No.28, page 885;

<sup>4</sup>Ratified by Law N° 9532, dated 15.05.2006 "On the accession of the Republic of Albania to the "Strasbourg International Patent Classification Agreement, 1979", published in the Official Gazette No.59, Page:1659;

<sup>5</sup>Ratified by Law N° 10180, dated 29.10.2009 "On the accession of the Republic of Albania to the Agreement on Patent Law of World Intellectual Property Organization (WIPO)", published in Official Gazette No.166, page:7317;

<sup>6</sup>Ratified by Law N° 118/2013, dated 18.04.2013, "On the accession of the Republic of Albania to the London Agreement on the Application of Article 65 of the European Patent Convention", published in Official Gazette No.28, page 885;

<sup>7</sup>Ratified by Law N° 9395, dated 12.5.2005, "On the accession of the Republic of Albania to the "International Convention on the Protection of New Varieties of Plants", signed at Geneva on 19 March 1991", published in the Official Gazette N° 48, Page:1725;

<sup>8</sup>Ratified by Law N° 9648, dated 27.11.2006, "On the accession of the Republic of Albania to the Hague Agenda for International Registration of Industrial Projects, 1960", published in the Official Gazette No.136, Page:5355;

<sup>9</sup>Ratified by Law N° 9647, dated 27.11.2006, "On the accession of the Republic of Albania to the Geneva Act of the Hague Agreement on International Registration of Industrial Projects and Regulations Relating to the Geneva Act, 1999", published in the Official Gazette No.136, Page:5339;

<sup>10</sup>Ratified by Law N° 8992, dated 30.1.2003, "On the accession of the Republic of Albania to the "Madrid Agreement on the International Registration of Trademarks", published in the Official Gazette No.6, Page:183 ;

- Nice Agreement on the International Classification of Goods and Services, for the Purposes of the Registration of Marks”(1979);<sup>1</sup>

### 3. The Strategies on IP Rights’ protection and the institutional cooperation.

The commitments undertaken in the framework of SAA and other political documents are incorporated in Strategies that have been drafted and approved by the relevant institutions. An important strategy on the IP rights is the one approved by the Decision of Council of Ministers no. 527, dated 20.07.2016 “On the approval of the National Strategy on Intellectual Property, 2016-2020”. This is the second strategy<sup>2</sup> that is undertaken by the Albanian Government, in this sector.

“The National Strategy for Intellectual Property 2016-2020” is one of the most important documents in guaranteeing the protection of IP rights in Albania. The General Directory of Patents and Trademarks (GDPT) played an important role in drawing up this strategy. WIPO representatives also assisted in the preparation of this document. The report prepared by experts of the WIPO Delegation was based on the analysis of the GDPT’s database and on several interviews with representatives of the institutions involved in the system as well as with other stake holders. The vision of the Albanian Government on the System of Protection of IP Rights designated in this Strategy consists in a stronger and more effective one, which provides a more secure protection to the owners’ rights, encourages creativity and innovation to boost economic growth, as well as cultural and scientific development in Albania<sup>3</sup>.

The strategic priorities were also drawn up in compliance with the obligations and commitments that are foreseen at the European Partnership Document (EPD), the Stabilization-Association Agreement (SAA), the EC Progress Report for Albania, TRIPS Agreement and EU Acquis.

IP Strategy 2016-2020 aims at raising and enhancing the awareness, as well as strengthening the system of registration, administration and protection of intellectual property rights as rights that exert a strong influence on the development and well-functioning of the economy. It also implements a number of objectives and enhances the chances on scientific research in the private and public sector in the country. The distribution of government subsidies for research & development or the establishment of public funds for scientific research institutes are policies aimed at directly contributing to innovation by providing incentives for investing in research. Actually it foresees lot of commitments on Industrial Property Rights’ as well as in Copyright and it is in its way of implementation.

The strategy is a political document that is orienting the Albanian institutions and International Organizations involved in the IP system, towards harmonizing their work and tasks between them, improving the legal framework on IP protection and broadly promoting the IP system. All the provisions of the strategy are in function of its main purpose to strengthen the IP system in Albania, stimulating economic and cultural development in the country also assuring the functioning of the internal market by establishing the appropriate balance between the rights of the IP owners and users’ interests. The strategy includes four important objectives:

Finalization of the regulatory and legislative framework;

1. Development and strengthening of the institutions involved in the implementation of intellectual property rights (copyright & industrial property);
2. Strengthening of the cooperation and coordination between institutions, involved in the framework of the ongoing process of protection of IP rights;
3. Enhancing public awareness regarding to the importance of intellectual property rights.

The strategy provides specific commitments regarding the cooperation between institutions involved in the process of IP protection. It emphasizes that all the involved actors should cooperate and help each other in the fight against piracy. The General Directory of Industrial Property (GDIP) is a public institution under the Ministry of Economic Development Trade and Entrepreneurship which provides grant and protection to Patents for Inventions & Utility Models, Industrial Designs, Trademarks & Service Marks, Geographical Indications, Topography of Integrated Circuits. With the purpose to IP

<sup>1</sup>Ratified by Law N° 9033, dated 20.3.2003, “On the accession of the Republic of Albania in Nice Agreement on the International Classification of Goods and Services, for the Purposes of the Registration of Marks (1979)”, published in the Official Gazette N° 28, Page:908;

<sup>2</sup> The first strategy on IP rights was approved by the Decision of Council of Ministers N° 760, dated 01.09.2010, “On the approval of the National Strategy on Intellectual and Industrial Property, 2010-2015”;

<sup>3</sup> Annual Report 2016, General Directory of Patents and Trademarks, page 13;

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protection, GDIP cooperates with other public institutions as the General Directory of State Police, which is an important link, as well as with Taxation General Directorate, Customs General Directorate, Ministry of Justice, School of Magistrates etc. Every link of this chain of institutions is in charge of its own tasks and has to fulfill its own commitments that are tightly bound with other institutions'.

The Business and Investment Development Strategy (2014-2020) is another strategy that is related with IP rights. The strategy recognizes the protection of Intellectual Property Rights as a key factor in improving the business climate, attracting foreign investment, innovating business development and improving competitiveness through innovation.

### Conclusions

Albania already "owns" a good package of laws and bylaws on the industrial property area that has been evaluated as fully approximated with EU Directives and Council Regulations. It has also undertaken a lot of serious commitments at different political documents on the Industrial Property's protection area that have established good promises for the future of IP rights. During last 20 years, Albanian Government has signed and ratified by law the most important International Agreements and Conventions in IP rights. During 2016, the General Directorate of Industrial Property entered into a new phase of its activity, called "Reforming the System of Industrial Property in Albania"<sup>1</sup>. The most important step of the reform was the approval of the National Strategy on Intellectual Property 2016-2020. This strategy aims achieving standards of the European Union regarding the protection of Intellectual Property Rights (copyright & industrial property rights) in Albania.

The real challenge consists in the right implementation of the legislation on Industrial Property Rights by all the actors involved in the process. Improving the implementation of the legislation on industrial property in Albania is an issue that is tightly related with the enhancement of the public/institutions awareness on the importance of industrial property rights that is considered another challenge that the Albanian authorities have to face. In this context, the cooperation of the institutions involved in the protection of industrial property should be of a high level.

In June 2014, the European Council granted to Albania the candidate status. The Stabilization and Association Agreement (SAA) has been in force since April 2009 and Albania has implemented smoothly its obligations<sup>2</sup>. If tomorrow will be the great day of becoming a new EU member, the full package of the respective legislation in this area is a good step toward other future commitments.

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<sup>1</sup> Annual Report 2016, General Directory of Patents and Trademarks (or General Directorate of Industrial Property), page 9;

<sup>2</sup> Referring to the European Commission Staff Working Document - Albania 2016 Report, Accompanying the document Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions 2016 Communication on EU Enlargement Policy,{COM(2016) 715 final},Chapter 7: Intellectual property law, pp. 39-40;

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## Morphological Adaptation of Anglicisms in the Albanian Press

Irena Pata Kapo

PhD, University Of Tirana, Albania

### Abstract

The flux of Anglicisms in Albanian language is a phenomenon of the last two decades. Similarly to many other European languages Albanian has been under the influence of English language for some time now and in a wide range of areas of life, study, etc. This paper, which is only a part of the author's research study of Anglicisms' 'behavior' in Albanian, aims at analyzing the morphological adaptation of English loan words in Albanian; their grammatical categories, how they adapt to Albanian grammatical system and the changes they go through in order to 'survive' permanently, stay and be used temporarily by Albanian speakers or leave the Albanian lexis, due to their equivalents already existing in Albanian or to the high level resistance Albanian language poses to them. This analysis is performed referring to the counterpart categories of these loans in Albanian, thus adaptation of nouns and how does their declension, gender and number fit within the noun category in Albanian, adaptation of adjectives, verbs, adverbs, etc.; a part of this paper analysis are also the acronyms borrowed directly from English, compounds as well as some forms of word formation under the influence of English language.

**Keywords:** morphology, adaptation, Anglicisms

### Introduction

The influence of English language on Albanian language, a phenomenon of the last two decades, seems to be drawing the linguists' attention. A corpus of 511 Anglicisms bears witness to the active life of these English borrowings in the Albanian press after the 1990s.

A generally positive attitude is held towards the use of Anglicisms in the Albanian press language in order to fill the lexical gaps with words and phrases denoting new concepts and notions or carrying extra connotative meanings rather than their use to duplicate existing lexical units in Albanian, in an effort to preserve the Albanian language identity in this globalization epoch of ours, thus contributing to the linguistic and cultural heritage of the country.

### Literature Review

One of the primary conditions for two languages to exchange lexical items between each other is the geographical proximity, but this is not the case with the two languages in question, Albanian and English language, i.e. referring to the countries where they are basically spoken. If we refer to the history of the written Albanian language, English words have been borrowed in Albanian since its first publications, starting from the middle of XIX century and on. These publications include school texts as well as newspapers published in the two languages such as *Dielli*, *Laboremus* etc. Two other factors that promoted further the borrowings from English were the opening of the Albanian-American Institute of Kavaja and the establishing of the American "Harry Fultz" High School in 1925.

In the XX century, after the turmoil the two World Wars brought in the region, and in Albania, in comparison to other countries Albania somehow lost contact with English language and culture due to the communist regime established in this country as soon as the war came to an end. Regardless the isolation, English language continued to be a priority and the first foreign language taught in most of the Albanian schools, and Albanian society had a very positive orientation towards English language and culture, even though hidden and covered from the fear of the different forms of punishment established by the regime, and being more oriented towards English culture, cinema, music, movies and sports originating from the English speaking countries.

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After the 1990 (the year that marked the change of the systems in Albania), the Euro-atlantic integration of the country became the real issue for our country and as a result the contacts and relations with many international organisms (OSCE, Council of Europe, NATO, etc.) increased, bringing to another development stage the English borrowings in Albanian language. The opening of the borders was not only literal but released the borders of Albanian culture, politics, media, etc., to have a free exchange with the 'other world' and particularly the global language, English language. It still continues to be a priority in the Albanian education and is one of the main conditions to be met for providing a job position.

There are cases when Anglicisms in the press are used to express a word recently adopted in Albanian language, often due to its shortness in comparison to the Albanian counterpart word; there are also many other cases in which Anglicisms are used extensively although in Albanian already exists a word/translation for that, replacing the Albanian word in many contexts: workshop and seminar. The reason beyond that lies in the tendency of the speakers to sound 'more modern' in their talk; in other cases Anglicisms are completely adapted to the Albanian orthography and pronunciation of the Albanian language, as it is the case with menaxher.

While in the other countries of Europe, the study on Anglicisms and their features and behavior in different European languages dates back since the middle of the twentieth century (with highly recognized researchers and linguists as Rudolf Filipovic, Manfred Görlach with his Dictionary of European Anglicisms, Ivan Klajn, etc., in Albania this is rather a new phenomenon with sporadic studies from Rajmonda Këçira, Xhevat Lloshi, etc; whereas studies from the Kosovo researchers and linguists date a lot earlier and are more extensive with names like Vesel Nuhui, Ismail Mehmeti etc.

In the Dictionary of European Anglicisms, Manfred Görlach includes Albanian language as one of the 16 European languages, whose Anglicisms he has collected. Görlach also refers to the lack of studies in this particular area of linguistics particularly in Albania. The research studies of two Kosovo linguists, that date back to 1980s, have been the source of the data for Görlach and his dictionary, thus without any concrete contribution from the Albanian language institutions of Tirana.

The 1980 Albanian language Dictionary, published by the Albanian Academy of Sciences lists 53 Anglicisms, a best part of which are not included in the 2002 and 2006 edition. The most recent edition, that of 2006, lists 80 Anglicisms out of 48,000 words. 15% of the corpus of Anglicisms collected from the Albanian press since the 1990 are included in this recent edition.

### Methodology

The basis for the analysis of this research paper was the corpus of 511 Anglicisms collected in the Albanian press from 1990 to 2010, including numerous editions of Albanian newspapers and magazines during this time span, without being limited nor on specific titles, neither on the area they covered.

### Results

Out of 511 Anglicisms collected, 87.6 % were nouns, about 12.7 % adjectives, 4.1 % verbs, 0.9 % adverbs and 1.5 % noun phrases.

### Discussion

The British linguist T. Hope describes the real nature of loans during the transferring process as characterized by: "the loss of their morphological and semantic transparency"<sup>1</sup>. In fact, the loss of the morphological and semantic transparency of the loans depends on the tendency and on the path the loans follow before they penetrate into the target language, but it also depends on the "willingness" the target language has to welcome them.

The adaptation of a loan depends on the need to express a certain meaning and on the efficiency it has in conveying such a meaning.

What is mostly borrowed from English are names of objects or other phenomena. Thus, there are more nouns than other parts of speech listed in the loan group. Often a verb can be replaced by a nominal phrase but the opposite is rare.<sup>2</sup> Adjectives are generally less necessary since they serve to emphasize one of the qualities regarding an object, phenomenon, etc. rather than to define new concepts.

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<sup>1</sup> Barbara A. Fennell, A History of English, Blackwell Publishing, 2008, p. 173

<sup>2</sup> Rudolf Filipovic, The English Element in European Languages, Anglicisms in Croatian, 1990, extracted on 27.9.2006, <http://mahazu.hazu.hr/LingResIn/FilRuPr.html>

The English language is a minimally inflected language compared to many other Indo-European languages, especially to the Albanian language; this can be seen in the grammatical category of gender, in having no adaptation of adjectives to nouns, as adjectives are not inflected to adapt to nouns. The case category has almost disappeared, being more limited to the forms of the pronouns<sup>1</sup> and the indicators of plurality have become more regular. As a result, the language is more based on such 'tools' as the word order in order to show the relations between words.

According to Filipović the adaptation of loans on the morphological level, called transmorphemization, has three degrees: a) zero transmorphemization (when the loan undergoes no change, i.e. it takes neither a prefix nor a suffix in the target language): *fashion, bar, doping* etc., b) partial transmorphemization (when the loan preserves the prefix/suffix of the source language: *spiker, selektor, reporter* etc.), c) complete transmorphemization<sup>2</sup>: *skanoj, trendi, çatoj* etc. Let us further see which of these three degrees the Anglicisms in our glossary belong to, i.e. whether their transmorphemization is more of the complete, partial or the zero type, by analyzing them based on their respective part of speech.

## Adaptation of Nouns

### Gender

In the Albanian language nouns are of masculine and feminine gender, while neutral gender has shrunk with the passing of time. There are some external elements that assist us in determining the gender in Albanian. It is interesting to study the reaction of loans to the gender of nouns. In English, though, gender is not a feature of nouns themselves, as it relates directly to the meaning of nouns, with particular reference to biological sex. The majority of the noun loans, adapt imminently to the two gender system in Albanian, depending on the word endings.

Often the gender of the loans is determined by the final sounds/phonemes of their stem. These nouns are integrated into masculine gender depending on the pronunciation pattern. Thus, noun loans ending in consonants are included in the masculine gender category: *antidoping-u, aneks-i, bekgraund-i, çarter-i, draft-i, impakt-i, lifting-u, lobing-u, parking-u, shopping-u, showbiz-i, t-shirt-i, raund-i* etc. Similarly *aftershave, bite, dance, deadline, dendi, derbi, DJ, game, hobi, hokei, home page, hot line, jive, joint venture, mouse, mobile, party, puzzle, sex gate, single, site, skype, slide, uiski, u-tube, video game, website* belong to the masculine gender and to the category above. As the examples show, most of them preserve their English spelling and pronunciation, and are integrated into the masculine gender structure of Albanian (*aftërsheiv, pazëll, seks geit* etc.).

Out of 448 noun loans in the glossary, 368 end in consonants and are integrated into the masculine gender category.

The noun loans of the glossary ending in vowels are included in the feminine gender category: *xhudo, tekno, tatu, soap opera, rege, regbi, kompani, koka-kola, logo, ekstazi, hipi, masmedia, barbekju dhe privaci*; also the nouns ending in unstressed *-ë*: *audiencë, performancë, korporatë, ligë, stjuardesë, striptizë*;

The gender of compounds is determined by the second/last component: *task forcë, overdozë, telekonferencë, videokamerë, toplistë, renklistë, rockbandë, seks bombë, databazë*. These categories appear in the glossary with the *-a* marker of the feminine gender (*telekonferenca, task forca*, etc).

Several acronyms have both genders based on their pronunciation. They are categorized as feminine, because, as acronyms, when read, they are morphologically marked for feminine, following the gender of the word "shkronja" (letter) in Albanian, where the *-ja* ending is the feminine gender indicator in this case: *WC-ja, SMS-ja, PC-ja, R&B-ja, PhD-ja, GDP-ja, HD-ja, MMS-ja, CV-ja, CD-ja, DVD-ja and IT-ja*.

Regarding the categorization of a noun as of a specific gender, in some cases, the lexical meaning of the word is taken into consideration as well. This refers to the relation between gender and sex. In agent nouns (of humans and animals) the gender is closely linked to the biological sex. This makes the gender of agent nouns not simply a grammatical category, but also a lexico-grammatical category, because an element of the lexical meaning of the word (the sex of the agent) is reflected in the grammatical context (by being included in one or the other gender). In some of the noun loans (noun agents) in our glossary, these two elements (feminine gender ending and masculine lexical meaning) contradict each-other, as is the case with *biznesmen* referring to men involved in business activities and *biznesmene*, which, by taking the feminine gender ending *-e*, becomes feminine, referring to women involved in business activities, thus, bearing two contradicting

<sup>1</sup> Fatmir Agalliu etc., Grammar of Albanian Language, Morphology, Academy of Sciences of the Republic of Albania, 2002, p. 111

<sup>2</sup> F. Agalliu, etc, Grammar of Albanian Language, p.115

linguistic indicators. The same goes for other words: *barmen* – *barmene*, *kaubojs* – *kaubojsë*, *kongresmen* – *kongresmene*, *narkoman* – *narkomane*, *supermen* – *supermene*, *xhentëllmen* – *xhentëllmene*.

The loan *miss* (“a title given to the winner of a beauty contest in a particular country, town, etc.”), which is feminine, due to the final consonant ending –s, becomes masculine in Albanian, based on its pronunciation: *Miss-i i parë shqiptar...* - Formally this noun loan is masculine, but lexically it is feminine.

In conclusion, 396 nouns (88.3%) out of a total of 448 words in the glossary are of masculine gender, while 45 nouns or about 10% belong to feminine gender.

### Declension types

Nouns are divided into four declension types in the Albanian language.<sup>1</sup> The Anglicisms in the glossary can be classified according to the criteria of each of the declension types, except the fourth declension which, in Albanian, includes the neutral gender nouns, and our glossary lists none of the type.

First declension includes the majority of masculine nouns, which in the nominative case, singular form, indefinite form, end in a consonant, except those ending in *k*, *g* and *h*: *akses –i* (definite form, singular) – nominative case, *akses –in* (definite form, singular) – accusative case, *të aset –eve* (definite form, plural) – genitive case, *audit –it* (definite form, singular) – dative case, etc.

Among the nouns of the first declension type in the glossary of Anglicisms there are some examples of Anglicisms that belong to the “zero transmorphemization” type, according to the ‘morphological adaptation criteria’ established by Filipović. In their spelling they do not bear the respective endings of the declensions, whereas when spoken the opposite occurs:

... *u transferua te nightclub...*, ...*kanë nxjerrë nga knock out Utah Jazz...*, ...*nga homepage...*, ...*java pushtohet nga action*, “*byte*” *realizuan gjithë...*, “*By-pass*”, *ndërhyrjet e famshme...*, *Firmat apo joint ventures...*, *Disa cawqirj...*, ...*duke e vënë theksin tek webcam...*, *merren me gossip*, *furtunën e impeachment*, etc.

The second declension includes a limited number of masculine nouns, which in the nominative case, indefinite, singular form, end in *k*, *g*, *h* or in stressed vowels<sup>2</sup>: *e ajsberg-ut* – genitive case, *ajsberg-ëve* (plural form) – dative case; *ajsberg* – accusative case, *ajsberg* – ablative case; *facebook-u* (definite, singular) – nominative case, *e facebook-ut* – genitive case, *facebook* – accusative case, etc., examples which are easily identified in the glossary.

The Anglicisms *miting*, *modeling*, *parking*, *playback*, *presing*, *smog*, *streçing*, and *shopping* are also included in this declension.

The examples of the second declension that bear no endings are:

*ylli i bodybuilding*, *kampionatin e Bowling*, *68 hot dog*, *mes wrestling dhe rugby*, *airbag* (për shoferin), (6) *airbag*, (me një) *click*, *tek një klik*, *nëpërmjet rafting*

The third declension type includes all the feminine nouns and some masculine nouns, that denote agent nouns.<sup>3</sup> Here are included a number of Anglicisms in Albanian such as:

audiencë-**s** (Dat., definite, singular), audiencë-**n** (Acc., definite, singular);

të korporatë-**s** (Gen.), korporatë-**s** (Dat.),

e performance-**ave** (Gen.), performancë-**n**, performancë (Acc.)

i privacy-**së** (Gen.), privacin-**ë** (Acc.),

një tattoo (Nom.), tattoo-**në** (Acc.),

të top-list-**ave** (Gen.), top-list-**at** (Acc.),

<sup>1</sup> F. Agalliu etc., Grammar of Albanian Language, p. 115

<sup>2</sup> F. Agalliu etc., Grammar of Albanian Language, p. 89-94

<sup>3</sup> F. Agalliu etc., Grammar of Albanian Language, p. 96

videokamer-**at** (Nom.), videokamerë-**n** (Acc.),

The examples that do not bear the respective endings of this declension, i.e. those belonging to the zero transmorphemization type, are: *Ekstazi*, *droga e diskove...*, *mbi task force*, *mes wrestling* and *rugby*.

### The grammatical category of number

This grammatical category of nouns is related to their lexical meaning. This also explains why some nouns are only used in the singular or in the plural.<sup>1</sup> The Albanian language has special endings for plural forms which are distinguishable from singular forms.

Thus, referring also to the examples found in the written press, two of the loans in the glossary preserve the same stem both in singular and in plural, following in this way one of the rules of the Albanian language morphology, according to which: "All the feminine nouns ending in unstressed -e, unstressed -o and one of the stressed vowels -i, -a, -o, -u, -e"<sup>2</sup> have the same stem in singular and in plural: *logo*, *top-modele*.

One of the two ways to form the plural special stem in Albanian is via the use of suffixes added to the singular stem. The plural suffixes that occur more often among the loans of the glossary are:

-e (the nouns ending in consonants like *t* and *d*, as well as other consonants):

*abstrakt-e*, *anekse*, *asete*, *bare*, *billborde*, *bojkote*, *bokse*, *bonuse*, *brande*, *çipe*, *dezajne*, *drafte*, *eksese*, *eksporte*, *fast foode*, *faulle*, *flirte*, *gejme*, *grante*, *hite*, *hobe*, *indekse*, *inpute*, *klone*, *koktejle*, *lobe*, *lote*, *markete*, etc.

-ë (mainly nouns of masculine gender):

*ajsbërgë*, *aplikantë*, *badigardë*, *barmenë*, *bigë*, *biznesmenë*, *editorë*, *gangsterë*, *huliganë*, *kameramanë*, *kaubojsë*, *killerë*, *klounë*, *kongresmenë*, *kontenierë*, *liderë*, *manaxherë*, *nokdaunë*, *partnerë*, *sponsorë*, *supermenë*, *xhentëlmënë*, *rockstarë*.

-a (the majority of feminine nouns ending in the unstressed -ë, many masculine nouns ending in consonants):

*bannera*, *bestsellera*, *dat baza*, *fansa*, *gola*, *hackersa*, *e-maila* (*Kjo fushatë përfshinte kërcënime dhe emaila të drejtuara mua personalisht – She.*, 23.2.2010, 16), *mastera*, *performanca*, *postera*, *servera*, *singëlla*, *snoba*, *stjuardesa*, *tonera*, *toplista*, *trailer a*, *uesterna*.

Some loans ending in -i preserve the same form in the singular and in the plural, such as *janki*, *hobi*, *derbi* etc.: një derbi - one derby (singular), dy derbi - two derbies (plural).<sup>3</sup>

The plural form of some Anglicisms is acquired through changing the sounds and with suffixes<sup>4</sup> such as: *blog* – *blogj-e*, *kamping* – *kampingj-e*, *miting* – *mitingj-e*.

A separate group includes words that have two forms of the plural: *bos-ë* – *bos-a*, *kompjuter-a* – *kompjuter-ë*, *tabloid-e* – *tabloid-ë*, *workshop-e* – *workshop-ë*.

Finally, another phenomenon observed within the plural category of nouns is the one where an Anglicism bears the plural indicator of the English and the plural indicator of the Albanian or to put it differently, the stem of the English plural form serves as the singular stem of the English loan in Albanian. Rajmonda Këçira, in her dissertation, uses the term 'double plural'<sup>5</sup>: *xhins-e*, *hackers-a*, *shots-a*, *fans -a*, *kaubojs-a*, *skorpions-a*, *bookmakers-a* etc.

<sup>1</sup> I. Mehmeti, A Morphological and Semantic Analysis of the Adaptation of Anglicisms in Albanian, (The English Element in European Languages, Vol 2, Rudolf Filipović), p. 33

<sup>2</sup> F. Agalliu etc., Grammar of Albanian Language., p. 97

<sup>3</sup> R. Këçira, Anglicisms in Albanian: A Direct and Mediated Language Contact Phenomenon, Graz, English Institute, 2005, p. 199

<sup>4</sup> Shumë nga "bookmaker"-at e mëdhenj kanë përfaqësues të tretë... (She., 18.1.2013, 26)

<sup>5</sup> Pasi ai e prezantoi projektin në një takim në Chaos Computer Club, që është edhe grupi më i rëndësishëm i hakerave në Gjermani... (Shq., 23.8.2011, 5); Ai pershkronte se si hakerat dhe frikersat e telefonave kishin zbuluar një menyre për të kryer telefonata pa pagese (Pa., 5.6.2012, 20)

Some of them appear in the press in two plural forms, one of which reflects a full or partial adaptation of the Anglicism to the plural form of the Albanian language, e.g. *haker-a (full)*, *bookmaker-a<sup>1</sup> (partial)*, and the other 'the duplication' of the plural indicators of both languages: *hakera<sup>2</sup>*.

### The grammatical category of Case

The extensive use of loans in many lexical areas and the increase in their frequency has led to the loan nouns being used in many different syntactic structures and in several forms, thus, in all the cases the noun category bears in the Albanian language. The collected glossary of Anglicisms illustrates best the variety of the forms the anglicisms are found in the printed press, expressing in this way the different relations they establish with the other parts of the sentence.

Nouns in Albanian have five cases: nominative, genitive, dative, accusative and ablative.<sup>3</sup>

The nominative case generally marks the subject of the sentence, part of the subject complement, the appositive and the vocative. The following are examples taken from the glossary of Anglicisms:

*Airbag për shoferin...*, *...aksesi afrohet...*, *antidumpingu, tani edhe në Shqipëri...*, *...aplikantët mund të...*, *badigardi afrikan...*, etc.

- (subject complement) *...protesta e 21 dhjetorit është një test që duket se e majta ka vendosur ta kryejë (KI, Nr 541, p. 5)*

- (appositive) *Elton John, fans i Leon Russell...* (GSH, 23.10.2010, pg. 4).

Or

*Grekët, sanduic mes parasë dhe terrorizmit. (AI, 26.3.2004, pg. 18),*

(vocative) *More Reis, mos kanë harruar të të sjellin ndonjë bukuroshe, se ti helbete je showman dhe ku i dihet mbase gjallërohesh! (Spe., 10.2004, pg.28), etc.*

The prepositions *nga* and *te(k)* are indicators of this case as well:

*plotësuar nga aplikantët, ...të udhëhequr nga bomberit i tyre...*, *...ikën nga bordi...*, *... nga faulli...*, *...nga feedback-u...*, *...besonin te gangsterët...*, etc.

The nominative case appears in two forms, definite and indefinite. As it is seen, in the examples cited above most of the Anglicisms adapt to the respective case and form similar to all the nouns in the Albanian language, with the respective endings: *-i, -e, -të, -t, -u, -ja. -a, -ë* or with no ending, as is the case with nominative, indefinite form (*tek një laptop, nga një link* etc.). Even those Anglicisms that have preserved their English spelling (*chat-et, e-mail-i, feedback-u, face book-u* etc.), take their respective ending as well (*SMS-të, VIP-a* etc.) but, in the cases when the endings are not reflected in their spelling, it is very likely for the speakers to attach these endings to these nouns in their speech (*CV e presidentit...*).

The genitive case is mainly used with nouns in different modifying functions. It is used to show relevance, to characterize an item, etc., to express the relation of the part to the whole, etc. The glossary lists many examples of Anglicisms in the genitive case:

*...vuajtësit e AIDS-it, maja e ajzbergut, institucioni i anti-dopingut, vlera e asetit, kontrolli i auditit, muzeu i badmintonit, kaloritë e një cheeseburger-i,* etc.

There are some cases of Anglicisms that bear the attributive marker of the genitive case, according to the respective gender and form, but they do not take the typical ending of the genitive case (at least in their written form):

*ylli i bodybuilding, kampionatin e Bowling, pronari i exchange, në mungesë të një file, ...i hot-line, furtunën e impeachment, patentën e sex-symbol.*

<sup>1</sup> F. Agalliu etc., Grammar of Albanian Language., p. 107

<sup>2</sup> F. Agalliu etc., Grammar of Albanian Language, p. 109

<sup>3</sup> F. Agalliu etc., Grammar of Albanian Language, p. 344

The dative case. It regularly denotes the indirect object: the item or the person, to whom the action is directed, with impersonal verbs, the person that experiences a physiological state, the person or item something belongs to, etc.<sup>1</sup> The following Anglicisms appear in the dative case, with the respective functions listed above:

*audiencës nuk do t'i flasë, i mbyll derën auditit, t'i jepte ndihmën e parë bodyguardit, kushtuar biznesit, u tha kongresmenëve, që i bëhet kompanisë.*

The accusative case denotes: the object that receives the action conveyed by a transitive verb, a feature of the object denoted by the direct object, quantity and measure, etc. Different meanings are conveyed also by the use of prepositions like *në, mbi, nëpër, për, mbi, me* and *pa*.

*me AIDS, me dopjo airbag, të kenë akses, paraqiten në aneksin, 350 aplikantë, të shohësh audiencën, kthen auditin, liroi ish-bodigardin, etj.*

The ablative case can be used with verbs and participle (ing-, ed-) adjectives, also with nouns, denoting a cause, means, place, time, etc. This case, too, recognises the use of its respective prepositions such as *ndaj, buzë, afër, prapa, pranë, mbas* and *para*.

*locioneve aftershave, përplasja ajsberg, çështje "bajtesh", mes "bigëve", mes drejtuesve dhe bordit, të fiksuar pas chat-it, nëpërmjet chat-it, pas çekut, pas faullit, drejt finishit, sipas tabloidëve, larg t-shirt-eve, prej xhinsi etc.*

Regarding the use of Anglicisms that are not adapted or not integrated into the Albanian language, it is noticed that the case ending is presented by a hyphen followed by the respective ending, based also on the pronunciation of the word in Albanian: *pamjen e një twinset-i, mbretëresha e talkshow-t, kërcimit të jazz-it, dhunimi i privacy-së* etc; or there are also cases when the endings are non-existent, such as the cases listed above in the genitive case: *ylli i wrestling, ylli i bodybuilding, patentën e sex-symbol, femra të showbiz, në saj të disa single, mbi të vërtetat e show business* etc. The last cases pose difficulties for the readers, regarding their assimilation due to their failure to adapt in the written Albanian but also due to the morphological features.

### Adaptation of Adjectives

About 12.7 % of the Anglicisms in our glossary belong to the category of adjectives. Adjectives in Albanian are of two types: with an attributive article or without one while the adjective loans do not have an attributive article:

*out, flesh, high-class, high-tech, hard, hot, horror, casual, cross-border, non stop, part-time, single, sexy/seksi, snob, push-up, porno, stand-by, unisex, wanted, trendy/trendi, topless, bold, senior.*

Considering that the adjectives acquire the gender and the number of the noun they modify, their endings adapt to the noun they modify. This adaptation is achieved by changing the article or via feminine endings like *-e*; in plural, there is a change in the article from *i/e* to *t*, or with the ending *-ë*. Referring to the examples from the glossary it is identified that the adjective loans have a low degree of adaptation in Albanian: out of 65 adjectives in total, only four of them acquire the respective endings of this grammatical category depending on the nouns they modify:

*...video hard / skena hard...*

*...foto hot / vajza, performanca hot...*

*...veshje / modele casual...*

*...punë / protesta non stop...*

*...politika unisex / motive unisex...*

On the other hand, we have some examples of adaptation:

*... fansa snoba..., ...grua snobe...*

*...aftësi menaxheriale...*

<sup>1</sup> I. Klajn, *Influssi Inglesi nella lingua italiana*, Firenze, Olschki, 1972, p. 71

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...reformë **bipartizane**...

Most of the adjectives preserve their English spelling and pronunciation in the source language when used in Albanian, except *sexy* and *trendy*, which appear in both forms, in their English and in their Albanian form (the adapted version): *seksi* and *trendi*.

With regard to the *adjectives' degrees*, the adjective loans in our glossary are qualitative adjectives, the semantics of some of which allows the expression of the respective quality in different degrees, following the Albanian system/degree indicators (...ka fituar çmimin "Vajza **më hot** e vitit" nga zgjedhjet e adoleshentëve (Kj, 11.8.2009, 16); *Flokët e sfilatave dhe pesë idetë për të qenë **më trendy*** (Spe, 3.2005, 49); *Tre tipa **pak hard*** (Kl, 9.2.1998, 36), ...*këngëtarja **më e klikuar*** ... (Pa., 13.12.2012, 4).

### Adaptation of Verbs

4.1% per cent of the glossary of Anglicisms that belong to the category of verbs are, mostly English loans adapted to the verb system of the Albanian language. Suffix verb-formation is the most productive type in the derived verbs group<sup>1</sup> and this is also typical of the rest of the verbs' group part of the glossary. A word formation of this type is distinguished by the typical Albanian suffix *-oj* in the verb Anglicisms of the glossary: *adres-o-j*, *afekt-o-j*, *çat-o-j*, *dribl-o-j*, *implement-o-j*, *klik-o-j*, *kros-o-j*, *lob-o-j*, *menaxh-o-j*, *monitor-o-j*, *start-o-j*, *test-o-j*, *stop-o-j*. As it can be seen, these verb Anglicisms belong to the first conjugation from three of the kind that exist in Albanian.

The same occurs also with the adjective Anglicism *snob* which in Albanian appears as a verb '*snobo*' while this word does not recognize this category in the English language (i.e. in the verb category) (which, in fact, leads to this word being listed under the pseudoanglicisms category):

*Peqinasit 'snobojnë' kupën, presin merkaton e dimrit* (PaSp, 13.12.2012, 6)

The verb *download* is never found in the adapted Albanian version in the examples from our glossary, resulting as zero transmorphemization element: bearing no identifying suffix, but, in this case, the grammatical category of this word is determined by the context.

### Adaption of Adverbs

There are few adverbs found in the grammatical category of adverbs: *full time*, *live*, *non-stop*, *out*, *topless*. In Albanian they are identified as such only by referring to their position in the sentence and by the relationship established with the other parts of speech. Based on the context in which they are used it can be said that these adverbs appear to be mainly adverbs of manner:

*Gratë festojnë 8 marsin, "full time" për guzhinjerët e restoranteve* (Al, 9.3.2004, 12); *Dy artiste nga dy drejtime krejt të kundërta këndojnë live në Tiranë, në të njëjtën ditë, me 4 korrik* (She, 26.6.2007, 32); ...*duke iu lutur non-stop kirurgut...* (Kl, 7.12.2007, 5); *Dhe madje për t'u çliruar nga kilet e tepërta rehabilitohet bifteku, i dekretuar "out" në vitet '90* (Kl, 16.1.2000, 50); *Kohë më parë, e kishin fotografuar toples ndërsa përqafohej me të fejuarin e saj* (She, 8.9.1999, 19) etc.

Their zero level transmorphemization is justified not only by their spelling, meaning and pronunciation preservation in Albanian, but also by the fact that they receive no identifying suffix that belongs to the adverbs category. Unlike adverbs in Albanian and based on the examples identified up to now, the English adverb loans do not bear the degree category. Considering that five of the adverbs listed in the glossary fully preserve their English spelling, it can be concluded that their level of adaptation in Albanian is low.

### Acronyms

This category includes integral loans named as original English symbols. They are pronounced as sequences of letters : *WC, OK, SOS, AIDS, CD, CV, DJ, DVD, GDP, HD, HIV, MMS, MP3, PC, PhD, R&B, SMS, USB, USD, VIP, UFO*, etc.

Other acronyms that preserve the English spelling but are pronounced according to the Albanian system are: *WC, AIDS, HIV, MMS, SMS, MP3, USB, USD, VIP*.

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<sup>1</sup> R. Filipović, Semantic Extension in Adaptation of English Loan-Words in Serbo-Croatian, *Studia Romanica et Anglica, zagrebensia*, 25-26, December 1968, p 118

There are other cases of English acronyms and symbols, such as *OK, CD, CV, DJ, DVD, GDP, IT, PC, PhD* and *R&B*, which preserve not only the spelling of the source language, but also their pronunciation (although *CV* is Latin, *Curriculum Vitae*, in Albanian it is pronounced as in the English language [*si vij*]).

In the list of the acronyms found in the glossary, a good part of them are used as nouns, except *OK, R&B, VIP*, which appear in the function of nouns and adjectives, and a few as adverbs; ...*infermierja VIP*..., ...*emra VIP*..., ...*çdo gjë është OK*..., ...*muzika R&B*..., ...*rymja R&B* etc.

The majority of these acronyms serve their function as nouns, bearing all its features, the number, the case, the gender and the form, as it is illustrated in the examples from the glossary:

*Por në fakt, gjithçka lidhet me pozicionin tim si individ dhe me CV-në time profesionale* (Kj, 4.6.2004, 3); *Pa ndjeshmërinë tënde ...ne do të kishim mbetur në padijen më të thellë për ankthin që përjetojnë vuajtësit e Aids-it dhe HIV-it...* (She, 27.9.1999, 17); ... *që mes të tjerave ka kompletuar tërësisht punën e tij mbi CD-në e gjashtë si solist* (Kj, 1.6.2004, 11); *Defiçiti buxhetor mbulon 9.1% të GDP-së* (Kj, 23.1.2002, 17), etc.

Although the majority of these acronyms are used in the printed press in the international level, they are included in this study, because in their use in Albanian they carry many of the English elements/indicators, in their spelling or meaning, and especially in the way they are pronounced. Thus, such acronyms can be classified as real/pure Anglicisms.

### Compounds

The semantic and lexical entities, consisting of more than one word, but carrying the meaning of one lexical unit are the ones included under the compound/locutions term. The glossary lists several examples: *after shave, best seller, black out, broad band, check-up, check in, duty free shop, exit poll, eye liner, fair play, fan club, fast food, full time, joint venture, call center, happy end, hard disk, hard rock, heavy metal, high class, high definition, high-tech, hit parade, home page*, etc.

The use of loan compounds, in many European languages where English language has a considerable impact, is characterized by ellipses or elliptical forms, i.e. the sense of the second part of the phrase is transfused into its neighbor, which then acts for the complete construction, after the second part has been dropped through ellipses, a phenomenon that is not found in Albanian. For instance, the use of similar shortened forms is also found in Italian, French,<sup>1</sup> German, Serbo-Croatian<sup>2</sup>, etc. In Albanian we often find such words as "*Kohët e fundit ai ka hapur një fitness*" (meaning: *Recently he has opened a fitness center*, thus using *fitness* instead of *fitness center*; or "*Këtë parfumin e kam blerë në një duty free*" (meaning: *I bought this perfume in a duty free shop*), using the English adjective *duty-free*, part of the compound *duty-free shop*, as a noun, bearing the meaning of the whole compound; there also other cases such as: *flesh – news flash, charter – charter plane, body – body stocking, folk – folk music/dance, house – house music, metal – heavy metal, hostess – air hostess, exchange – exchange office, country – country music, master – master degree*, etc.

### Word Formation

As mentioned above, the Albanian language recognizes a range of new formations, created by joining English words and Albanian prefixes or suffixes. In his article *The foreign pressure and the Resistance of Albanian Language*<sup>3</sup>, Raul Lilo classifies loans as promoters of the word formation system, by underlying that such loans are more frequently found in the press language. He considers them mainly as loans with word formation affixes: prefixes and suffixes that mainly appear in individual and occasional creations, a feature of the press language, taking the emotional degree to another higher level. Among the nouns included in the glossary, there are many nouns that are used as nouns and as verbs in the English language, i.e. in the source language, but in Albanian they are mainly used as nouns. However, many of these words, along with many others, have influenced the creation of many new words in Albanian which have an English stem but an Albanian suffix. Thus, the latter can be considered as part of the lexis of the Albanian language with 'equal rights', as it is illustrated below.

<sup>1</sup> R. Lilo, Third Seminar on: "Loans in the Standard Albanian", University of Tirana, Faculty of the Foreign Languages, 2004, Pegi Publishing House, p. 33

<sup>2</sup> Dhe shfaqet me një dekolte tunduese në festivalin e Tiranës në top-formën e saj 22 vjeçarja Çelo. (GSH, 16.1.2000, 42)

<sup>3</sup> ...kënga e tij ishte afruar befasisht në toplotën e çmimeve të nxehta... (KI, 1.9.2000, 45)

One of the word formation cases is the one with the word formation stem of a compound such as top –in English and formë, listë and yje in the Albanian language in the compounds *top-formë*<sup>1</sup>, *top-listë*<sup>2</sup> and *top-yje*<sup>3</sup>.

It is a characteristic of the language of the press to create words for special stylistic purposes, i.e. to give a certain connotation to them, for example the formations with **-land**<sup>4</sup> to give the idea of the land/property belonging to someone.

The derived nouns with the suffix **-im** are formed from their respective verbs (*startoj*, *klikoj*, etc): *klikim*<sup>5</sup>, *lobim*<sup>6</sup>, etc.

The derived nouns with the suffix **-tet**, which in most of the cases replace the English nouns ending in **-ty**. Such cases of adapted Anglicisms include:

*facilitet*<sup>7</sup>, *fizibilitet*<sup>8</sup>, etc.

Like prefixes, the suffixes are not borrowed as such, but together with the words they are part of. These words are also motivated in Albanian, if they are used alone or with their word formation stem or when at least two derived words are formed from that same stem, but with different suffixes, e.g.: *global* and *globalizëm*, etc.

The suffix **-men** is used to form pseudoanglicisms, words created in Albanian, which look like English but with no equivalent of theirs in the English language, such as the word *bllokmen*, definitely not an English word (a word created in Albanian to refer to the people living in a small area of Tirana, very near the center, isolated during the communist regime for the leading political class of Albania at that time, as well as their families).

An example of the word formation can also be the adjectives in Albanian formed by English verb stems, with the suffix **-ar**: (i) *klikuar*<sup>9</sup>, (i) *apdejtuar*<sup>10</sup>, i *monitoruar*<sup>11</sup> classified fully as adjectives in Albanian, with all its degrees in Albanian, its articles, gender, etc.

The English loans in Albanian in general have expanded their word formation ranges. Examples that illustrate the expansion of the word formation ranges are the following Anglicisms (there are more examples included in the glossary):

*Shok* (n) – *shokoj* (v) – *shokues* (adj.)<sup>12</sup>, *test* – *testoj* – *testues* – *testim*<sup>13</sup>, *kros-krosj*-*krosim*<sup>14</sup>, etc

<sup>1</sup> Ndërkohë edhe top-yjet e tjerë të Formula 1 janë në top-formë. (Al, 14.4.2010, 23)

<sup>2</sup> Udhëtim në Pacolliland (Pacollit mbiemri i Bexhet Pacollit është me të kuqe ndërsa land me të zeza) (Kl, 15.9.1999, 28)  
Parajsja për ta është edhe ky Anarkiland, që quhet Kamëz dhe Bathore, me flamure kudo, me ndërtesa të lyera plot slogane dhe me rradhë. (Ma, 15.5.2011, 18)

<sup>3</sup> Në bazë të një sondazhi të zhvilluar në internet... fitues del "Tingulli 3nt" me 20.4% të votave dhe më konkretisht me 582 klikime. (GSh, 13.10.2007, 13)

<sup>4</sup> Njohja e Kosovës nga Arabia, falë lobimit të Shqipërisë. (GSh, 23.4.2009, 1)

<sup>5</sup> Sipërfaqet e zyrave variojnë nga 15 m<sup>2</sup> deri 100 m<sup>2</sup>, të pajisura me të gjitha facilitetet. (GSh, 4.8.2004, 28)

<sup>6</sup> Studimi i fizibilitetit dhe përgatitja e projektit i janë besuar firmës "Bechtel". (GSh, 10.12.1997, 2)

<sup>7</sup> Gjithsesi në gdo rast duket se edhe Blunt i pëlqen të koleksionojë të dashura, pasi këto kohë është i klikuar prej tyre. (GSh, 15.7.2006, 7)

<sup>8</sup> Synimi është që viti 2006 ta gjejë komunitetin e biznesit shqiptar e të huaj që vepron në vend, me një listim të ri, shumë më të "apdejtuar". (Kl, 13.8.2005, 6)

<sup>9</sup> Ai është institucioni më i monitoruar nga publiku (Pa, 24.1.2012, 9)

<sup>10</sup> "The last house on the left" është ripërpunimi modern i filmit kontrovers dhe shokues të vitit 1972... (VIP, 6.2009, 32)

<sup>11</sup> ...duke i dhënë grupit testues mundësinë për të shkruar opinionin e tyre...:...pjestarët e grupit kanë testuar produktet e para...; Qëllimi i kësaj miqësoreje ka qenë testimi i disa futbollistëve të huaj. (Je, 12.2011, 84)

<sup>12</sup> ..goli i minutës 56 e realizoi pas një krosimi mjaft të bukur të Rrapajt. (SpoEks, 16.1.2012, 6)

<sup>13</sup> B. Vertecchi, (edited by) The century of school: education of the twentieth century, New Italy, Florence, 1995.

<sup>14</sup> L. Trisciuzzi, The integration of the disabled into the compulsory school. An Alternative Didactic Proposal, Lisciani & Giunti Editore, Teramo, 1980.

Similar to the influence of English on many other European languages, its influence on Albanian language goes beyond the limits defined above. As it is for instance the irreversible integration of some loans into the Albanian language, bearing the endings of Albanian and 'behaving' according to its rules. Thus, for instance, there is the phenomenon of the creation of neologisms: the new words or the new meaning that many words in Albanian acquire under the influence of English language. On the other hand, according to the specifications each language has and according to the historical, political, cultural and social context in which it is spoken, there are structures or compounds recognized and created which acquire a meaning only in the respective language; an example of which is 'copy-paste' which refers to the action of copying something, i.e. to show lack of genuinity for something new that is created, or when used as an adverb: "*Teksa i sheh së bashku kupton magjinë e të ndjerit artist dhe vetinë për ta përcjellë atë 'copy-paste' te brezi pasardhës* (Paloma, 9.2.2012, 23)".

## Conclusions

The future of Anglicisms in Albania, according to Manfred Görlach who together with Rudolf Filipovic have been two of the most distinguished researchers of Anglicisms in Europe, depends on the country's stability, on the English learning system and on the international communication extent and technological and cultural exchange with the English speaking world. They have also expressed the total absence of relevant literature in Albania. This also justifies the reduced explanation (in quantity as well as quality) of the Albanian data in the Dictionary of European Anglicisms of Görlach.

The prestige of the loans regardless the source language and country, can never be higher than our native language and its cleanness. The objective of this study has been the identification of English loans, their behaviour and their adaptation degree in Albanian language. Many of them have come along with the new inventions, objects and notions of science, technology, music, fashion, etc. Thus let us consider them as complementary to the needs of our language, to fill the gaps we encounter in its lexis. Regulating or putting some order in this gap-filling shall and must be the focus of Albanian linguists.

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## Teaching and Learning Portuguese as a Second Language for Deaf Students: Reflections on Teaching Practices in An Inclusive Context

**Michelle Nave Valadão**

Department of Languages, Federal University of Viçosa (UFV)

**Carlos Antonio Jacinto**

Department of Languages, Federal University of Viçosa (UFV)

### Abstract

In Brazil, according to the principles of bilingualism, the process of teaching written Portuguese to deaf people should be based on methodologies used to teach a second language (L2). Also, the teaching method should be developed from experiences with the Brazilian Sign Language (LIBRAS). On that account, the present study investigated the teaching-learning process of the written Portuguese experienced by a deaf student in an inclusive class. A qualitative, descriptive and exploratory research was conducted. As for collecting data, three methods were explored: participant observation, field diary and document analysis. The results indicated that in the aforementioned process, LIBRAS was not appreciated as a first language (L1). They also showed that no Portuguese language teaching methodology based on a L2 was used. Thus, we concluded that the methods used for teaching the written language in the inclusive situation did not meet the principals of bilingual education and did not embody all the linguistic and cultural singularities of the deaf student.

**Keywords:** Teaching and learning Portuguese, Brazilian Sign Language (LIBRAS); Deafness.

### Introduction

It's widely known that the process of teaching and learning a written language must begin and be developed throughout the first stages of school life, since, according to Hagen, Miranda & Mota (2010), the success of this undertaking "influences all the later stages of schooling" (p. 136). According to the authors, on these first years, reading and understanding the written language constitutes a landmark for the children's autonomy, which, in turn, become "capable of reading important information and better understand the world around them" (p. 136) and, "thanks to these abilities, are able to learn new things throughout their academic lives" (p. 136)

Teaching Portuguese in its written form to Brazilian deaf students has been an ongoing concern to researchers and teachers, since, historically, these students perform poorly when writing and reading is concerned, and usually don't have the opportunity to use the language in a social context. The situation is very problematic, once we consider that ordinary teaching methodologies, based on oral and auditory strategies can't be employed due to the students' lack of sense of hearing, therefore requiring the methodology employed in teaching L2. Furthermore, teaching process must be based on the deaf students' previous knowledge, and on their experiences with the Signs Language (SL). According to Pereira (2012), it's through Libras that the "deaf students may note with sense what they read, instead of being mere decoders of the written language, and so they can build their knowledge of Portuguese through comparisons of said language with the Sign Language" (p.238)

However, future Portuguese Language (PL) teachers aren't taught in college methodologies for teaching the language to deaf students. It should be mentioned that, in Brazil, the discipline of Libras is compulsory for all undergraduate courses, as established by Decree No. 5.626 / 2005 (Brazil, 2005). However, despite its importance, only one discipline covering the subject isn't enough to provide the necessary training for teachers and also does not contemplate the continued formation of teachers who graduated before the enactment of the mentioned decree, and already worked with deaf students. As a consequence, the Portuguese Language teaching currently offered to the deaf is not adequate for teaching L2, nor does it consider the students' cultural singularities

In the field of Applied Linguistics, researches about the teaching of PL as L2 are incipient. Recent researches point towards the need of inquiries that take into account the particularities of these students, their linguistic differences and the use of methodologies and strategies adapted to their ages and social background. In relation to the teaching of PL as non-native language in Brazil, according to Gomes (2014) "discussions about the method and methodology, in the same premise of teaching a foreign language, are nowhere to be found" (p.30). Still according to the author "teachers are trained to teach PL as a mother tongue, not as a foreign language" (page 30), or as L2 or additional language.

Based on these evidences, we developed a research whose objective was, after observing classes attended by a deaf student in an inclusive school, to engage in a discussion about language teaching in the educational context. In this article, we describe the teaching practices we observed, aiming at promoting a discussion regarding the problems of PL teaching experienced at school. We will also reflect upon the teachers' own training, focusing on methodological issues that value and consider deaf students' linguistic, cultural and social diversities.

### **Contextualizing the linguistic condition of deaf Brazilians in the educational context**

In Brazil, a legal consensus regarding the linguistic condition of deaf people has only been reached as recently as two decades ago, as a result of intense mobilization of the deaf community's part in a struggle for their linguistic rights, resulting in the approval of Law n° 10.436, of April 24, 2002 (Brazil, 2002), which recognized "the Brazilian Language of Signs - Libras and the expressions and resources employed by it as an official language". In this context, the PL assumed a position of L2, since said law, in its single paragraph, states that "the Brazilian Language of Signs (Libras) can't replace the written form of the Portuguese Language" (Brazil, 2002).

Following the promulgation of the law, discussions on the linguistic conditions of the deaf in Brazil were not limited to the legitimation of Libras as an official language of the country; they went further ahead and recognized, according to Teske (2012), the deaf as multicultural bilingual<sup>1</sup> citizens. In addition, as discussed by Valadão and Gomes (2016), they also covered questions about the roles that Libras and PL should play in the different social and educational contexts experienced by the deaf. Based on these discussions, the December 22, 2005 Decree 5.626 (Brazil, 2005) regulated the mentioned law and established specific processes for its implementation, highlighting the inclusion of Libras as a compulsory curricular discipline in teacher training courses; the training of Libras' teachers and instructors; the use and dissemination of Libras and PL with the goal of widening deaf people's access to education; the training of Libras/PL interpreters and the guarantee of the right to education of the deaf or hearing impaired.

That period was also marked by changes in the sphere of special education, with the Brazilian government choosing to adopt an inclusive educational system, supported by the World Declaration of Education for All (Brazil, 1990) and the Declaration of Salamanca (Brazil, 1994), effectively enrolling students with disabilities, including deaf students, in ordinary schools.

Ever since, Brazilian educational policies regarding deaf students became part of this new inclusive panorama supported by the legislation previously mentioned, without, however, considering more appropriate approaches or even a meaningful discussion suiting those new policies. Few strategies were devised, such as Libras becoming compulsory for undergraduate courses. However, according to Valadão and Gomes (2016), teachers who were already involved in basic education, before such initiative was put to practice, were also caught up in these policies and, therefore, welcomed deaf in their classes without having the necessary training. According to the authors, this situation generated a linguistic conflict, since teachers and students were not prepared to live with the SL in the school space, in a bilingual situation. As for the PL, inclusive schools also failed to offer a teaching that considered it as L2, since teachers did not have didactic and methodological training to deal with the linguistic and cultural singularities of the deaf, considering their different approaches on how to interact and interpret the world, through visual experiences, as defended Valadão, Mendonça, Silva & Carmo (2016).

Concerns about the process of training those teachers were also raised by Lebedeff (2006) and Mélo, Araújo & Soares (2012) when interviewing said professionals. In their reports, educators described themselves dissatisfied with their performances in classrooms, and aware that they lacked specific training for dealing with deaf students. The testimonies also revealed lack of knowledge about deaf students' different needs, as well as a lack of fluency in Libras itself. In addition, they mentioned difficulties in working together with the Libras/PL interpreter, as well as developing teaching methodologies that included both deaf and non-deaf students.

Considering the problems of teacher training for deaf people in inclusive schools, we devised a study whose aim is to investigate the teaching and learning process of PL as L2, based on the experiences of a deaf student who attended an

inclusive class in the year 2016. In order to achieve this objective, we analyze the PL teaching methodologies used by PL teachers, and describe the didactic resources used, as well as the tasks and activities proposed for teaching written Portuguese as L2.

### **Methodology**

The empirical development of this research was done in a public educational institution of the municipality of Viçosa, Minas Gerais state, Brazil, a school that offers Elementary and Middle School. The target audience was a deaf student, aged 16, enrolled in an inclusive class with 30 other listening students, the two PL teacher teachers, and the Libras/LP translator/interpreter.

The present study was characterized as a descriptive analytical type research. As for the of approach, we chose the qualitative one, since we believe that it provides significant results in the educational area, in the sense of giving the researcher a broader vision of the school daily life, besides producing knowledge and contributing to the transformation of the studied reality. Thus, Lüdke and André (1986), point out that this type of research has the natural environment as its direct source of data and the researcher as its main instrument.

With regard to data collection techniques, field journals, participant observations and documentary analysis were used. The data collected were organized into theoretical and empirical categories, and analyzed based on the findings of other published researches in the field, in order to find similarities, differences and correlations between all them. In these analyzes, we look for patterns and regularities and seek explanations that support or question the hypothesis raised throughout the work. We reflect on the influence of the use (or absence) of Libras and visual methodologies in the teaching and learning process of written LP, as well as on the dynamics involved in this process.

### **Results and Discussion**

The results presented here correspond to the observations made in the first half of 2016, which covered the months of April to July. It should be mentioned that, during this period, two teachers were assigned to said class. The first teacher (Teacher I) worked in the period between March and May, and ended her activities after being nominated to a position in a public school. The second teacher (Teacher II) took over the class in early June, replacing the first.

#### **Teacher I**

In an initial conversation, the teacher informed us that she had no knowledge of Libras since she had graduated before the inclusion of the language as a compulsory curricular subject in undergraduate teacher courses. She reported that she tried to learn Libras on her own through classes available on the internet, but didn't succeed because she found it extremely difficult to understand and produce signs. The teacher's speech can be interpreted according to the inventory of beliefs described by Gesser (2012), pointing out that among the beliefs about the nature of Libras, the idea that it is difficult language demonstrates "the apprentice's fear of the task of learning" (p. 70). The author argues that learners, by assuming the challenges of studying a new language, establish a correlation with their mother tongue.

The teaching practices of this teacher were usually restricted to recording the contents on the board, while giving explanations, sometimes with her back to the class, while the students wrote down notes. On these occasions, we observed that the deaf student did not follow the explanations, because while copying the contents available on the board, he could not look at the interpreter who signaled the teacher's speech. Faced with the incompatibility between the two visual stimuli, after the student finished copying, the interpreter made a synthesis of the explanations given by the teacher regent, independently and based on what she (the interpreter) had understood, which sometimes didn't coincide with the explanation given previously by the teacher. Situations such as these were also reported by Lima (2012), and, according to that researcher, demonstrate the low expectations of teachers regarding the deaf, even delegating their roles to the interpreters.

The teacher's posture is related to her initial speech of lack of training for working with deaf students before the inclusive proposal. Her practice in the classroom disregarded the linguistic condition of the student, making it impossible for her to access the knowledge through Libras, even if she relied on the mediation of the translator/interpreter. In turn, the interpreter's position revealed an inadequacy as to its role in the school context. According to Felipe (2003), such inadequacy can be attributed to a professional identity that has not yet been consolidated. In this sense, Quadros (2004) also observed several ethical problems during the process of linguistic intermediation in the classroom, where, on many occasions observed by the author, the interpreters took over the role supposed to be the teacher's

In order to better elucidate the dynamics of the classes and their implications for the process of teaching and learning PL for the deaf student, we will now describe an activity whose objective was to work the narrative genre. In this activity, the teacher began the lesson weaving explanations about the narrative genre. She then asked the students to write a narrative textual production, ranging from 15 to 25 lines, and let them freely choose pick a subject of their interest. The deaf student opted to work on the theme of death and, in order to begin his production, he first developed all his text in Libras along with the interpreter. Only after writing in Libras did he initiate the written text. The practice was adequate to the assumptions of bilingual education, which advocated the use of SL as the basis for the development of PL as L2. Pereira's (2014) research showed that in the teaching and learning process of the PL, the deaf should first develop their texts in SL, because only then can they comprehend what they've read and make sense of what they'll write in L2. As an example, see the textual production (1) of the student transcribed below:

### **Death**

In death people is happy, because relieves pain, suffering. Many problems in the world today. Example: natural disaster, fish dying due to dirty water, also people dying, losing their homes. We also see violence, bomb, wars. Children losing their parents, many suffering in the family because torn apart, loose their parents become alone, very hard. Today even passing through, but very dangerous in the cities.<sup>2</sup>

From the transcription above, we could perceive that the production elaborated by the deaf student couldn't be described as a narrative text. However, at no time was this informed to him, which, in our opinion, impaired learning and didn't enable the student to acquire this knowledge in PL.

Practically all the activities carried out by the deaf student in the classroom could be reduced to taking notes: writing down the contents off the board, borrowing notes from the classmates and transcribing contents from the book. The student wrote down everything that the teacher put on the board, without understanding or critically analyzing the contents. According to Goes & Tartuci (2012), a well-observed attitude among deaf students attending regular schools is the habit of taking notes mechanically without any understanding of the content. The authors attribute this behavior to deaf people's necessity of taking part in activities, since the strategy, although contradictory, breaks down "immobility" and keeps them "alive in the environment" (295). In turn, Silva (2000) attributes this behavior to the absence of communication between the deaf student and the listening teacher, which causes the student's participation to be inhibited and the contents not being understood.

As for to the methodologies employed by the teacher, we can see that her work was mainly focused on the grammatical contents of the PL, with a few instances in which she focused in textual elaboration. She also introduced figures of speech, in which she presented the difference between connotative and denotative language, and between literal and figurative sense. Some classes were also devoted to the study of the narrative genre.

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After analyzing these practices, we found that there was no understanding of Libras as the natural language of the student, and that the PL teaching process was not based on L2. These results demonstrate the need to broaden the discussions about PL teaching for deaf students when training teachers, highlighting the language as a social practice that, for such students, should be considered from the point of view of their linguistic and cultural singularities.

## Teacher II

The second teacher, in an initial conversation with the researchers, informed us before starting work with the class that she also had no knowledge of Libras and that she had not been informed by the school management about the presence of the deaf student in the classroom.

From the start, said teacher showed signs of interest, more so than the first teacher, and she was interested in working with the specifics of the student, always questioning us, and also the interpreter, how she should behave, what to do and what not to do when interacting with the deaf student.

Subsequently, to further address the contents taught by the first teacher, she continued explaining figures of speech, followed by literary genres, this time talking about "chronicles". To do so, she took materials prepared and selected by her, which ventured further from the way the subject was addressed by the textbook. Her methodology focused on written texts, an approach she used for both teaching about chronicles and figures of speech.

After some classes on chronicles, the teacher, as an evaluation activity, proposed that group activity for the students, in which they would have to choose a chronicle, read it and prepare a play to be presented to the whole class. However, for the deaf student, she assigned a distinct activity, and asked him to analyze a book called "The Incredible Hulk: Buried in the Mine" and write a summary. It should be mentioned that the book was a comic book and didn't cater to the chronicle genre. In addition, he wasn't asked to participate in the staging along with the other colleagues. The inadequacy in the selection of the activity, differentiating it from that oriented to hearing students, coincided with the observations of Karnopp & Pereira (2012) when they verified that the pedagogical practices of PL teachers don't consider the language capacity of deaf students. According to the authors, due to the belief that the deaf have many difficulties with reading and writing, it's common for "teachers to assign deaf students adaptations of original works, or works aimed at a younger audience, unsuitable for the students' interests or age"(page 131). The activity occurred without any concern regarding the lack of interaction between the deaf student and the others, which contradicted with the inclusive proposal, since according to Carvalho and Barbosa (2008), for the inclusion process to happen, the ideal is a collaborative environment in which both deaf and hearing students can take part in school activities. Also regarding adapted activities, Gonçalves & Festa (2013) affirm that the presence of the deaf student in the classroom requires, on the part of the teacher, the elaboration of new teaching strategies that are appropriate to the particularities of the student's learning strategies, in order to transform the classroom into an inclusive space. Hence, it's necessary to teach accordingly the visual-spatial perspective, with the use of images, figures, photos, films, for the access to the curricular content to be effective.

In light of the above, in relation to the teaching methods used by the second teacher, we noticed the focus on textual analysis, how to elaborate and identify a specific genre, the chronicle. Her teaching methodology focused on writing on the board, oral explanations and the use of materials and activities developed by her. On a few occasions, the textbook was used. We also verified that one of the few adapted activities, the play in which the student didn't take part, besides depriving the student of the opportunity of being part of an inclusive work - a situation in which Libras could have been used - the teacher also limited his learning, since the mentioned comic book not only didn't have any relation with the subject matter as it was also beneath the student's presumed capabilities at that point of his school life.

After analyzing the collected data, we observed that, although the teacher demonstrated awareness about the need of a different approach, in practice, her attempts weren't successful, and, similarly to the first teacher, she wasn't capable of recognizing Libras as the student's L1, therefore, the teaching of PL was not based on L2 methodologies. These results demonstrated the importance of broadening the discussions about PL teaching for deaf students in teacher education and about the role that Libras should play in an inclusive school environment, considering a school that includes a bilingual curriculum.

## Final Considerations

When analyzing the PL teaching and learning process experienced by a deaf student from an inclusive public school in the municipality of Viçosa, MG, we focused our interests on the didactic and methodological procedures used by PL teachers, as well as on the relationships among teachers, the interpreter and the deaf student.

Our observations pointed out a misunderstanding on the part of these teachers about Libras being the natural language of the deaf student, a fundamental language for learning PL and other subjects. In those moments when we were in the classroom, the few communications established between the teachers and the deaf student were only possible through the

mediation of the interpreter and were limited to the transmission of information, not encompassing exchange of knowledge and communicating ideas. Nor did we witness the use of methodologies for the teaching of PL as L2, which would meet the specificities of the student. Furthermore, we noticed a great difficulty in the implementation of didactic and methodological strategies adapted to the deaf, and an inadequacy in the planning of practices that took into account the presence of the interpreter as mediator of communication between the deaf and the hearing in classroom environment.

Although our findings may bring doubts about the teachers' work, we emphasize that at no point do we consider them responsible for solving any problems regarding difficulties in the teaching and learning process of PL as L2 by the deaf, since this process involves discussions in the field of public policies, linguistics, and educational contexts that weren't addressed in this research. In addition, throughout the time we were present at the school, we noticed that the teachers were also dissatisfied with their actions and aware of their lack of training for dealing with the deaf in accordance to the inclusive proposal parameters.

In addition to the issues related to the teachers' performance, we also observed that the student's learning was also impaired due to the inadequate conduct of the translator/ interpreter of Libras/PL. In most of the classes observed, we found that the translator/ interpreter performed functions that were not compatible with her professional assignments, such as promoting explanations about PL content. We also verified that this behavior impaired the student's autonomy, because the professional's interference didn't allow him to reflect on his doubts, nor to independently perform the activities proposed by the teacher, even those that didn't depend on Libras translation/interpretation, such as writing a narrative by himself.

Finally, we found that Libras was present only in the student's relations with the interpreter. We know that the presence of this professional in the classroom is fundamental to mediate the communicative relations between the deaf and the hearing, minimizing the communicative obstacles. However, the interpreter doesn't solve the problem of education for the deaf, because the educational environment is still thought of and organized by and for listeners. In order for this environment to be adapted to the specifics of deaf students, besides the use of Libras by teachers and hearing student, changes in curricular and methodological adaptations are also necessary, albeit unfortunately still far from happening anytime soon, as discussed by Lacerda (2006).

In view of the above, we can conclude that in that school, Libras didn't play a prominent role in teaching practices directed at deaf students, and PL was not approached as L2, nor included in a bilingual curriculum. These results demonstrate the need to broaden the discussions about the teaching of PL for the deaf as a social practice, based on their linguistic and cultural singularities. We know that in Brazil the theme is incipient and, therefore, we hope that our research can contribute to expand and strengthen similar studies focused on the teaching of PL for the deaf and, specifically, training teachers to better tackle this issue.

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## Footnotes

<sup>1</sup> Para os surdos, a condição bilíngue tem como pressuposto a aquisição da língua de sinais como língua materna/primeira língua, por ser considerada natural aos surdos, visto que se apresenta de modalidade espaço-visual, não dependendo, portanto, da audição para ser adquirida; e a língua oficial do país como segunda língua (Quadros, 1997). For the deaf, the bilingual condition is based on the fact that they acquire the Signs Language as their, other tongue/first language, as it is considered more natural to them, once it encompasses visual-spatial comprehension, being independent, thus, from any hearing capabilities, and the official language of their country as a second language

<sup>2</sup> Portuguese Language activity, writing a narrative. Source: Research data.

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## Illustration in Explanatory Dictionary

Dr. Asime Feraj

Vlorë, Albania

Dr. Arjan Llanaj Albania

### Abstract

This paper has treated the syntagmatic level in the explanatory dictionaries, in the monolingual and bilingual as well, since the syntagmata in the dictionary can be dealt with as being unnoticed, because it is considered as less important than explanations or definitions or equivalents (when the dictionary is bilingual). But, if, for example, it can't be said in the explanation that a verb or adjective can be linked with words that refer to alive and not alive objects, than the user can see the illustrative examples (the weather became cold/cold (distant) from his friend; a cold room/a cold person; a man walks/ the horse walks ; the time passes/ the work goes on; *ecën koha (ecën puna)*. Nowadays, when the society is developing so fast and thoroughly, the use and utilisation of monolingual, bilingual, multilingual, linguistic or encyclopaedic dictionaries, is the most common and inevitable phenomenon, because these works not only are recorders of the word and phraseology, of semantic and lexical fortune, national and international one, but also have their determining importance in the acquirement of the language and in the expansion of the linguistic and communicative competence, in finding an unknown word and its semantic definition, or in finding lexical and semantic units with which creates semantic, paradigmatic, word-forming and stylistic relations etc. The illustrative examples are helpful for the full exploration of meaning and serve as an additional instrument for the characterisation of the word, showing the area of use and the typical grammatical lexicon enclosure. They also prove the stylistic evaluation and grammatical characteristic that is given to the word. The main purpose of this paper is that by relying in the subject that is offered by these kind of irreplaceable works, it will treat the importance of the syntagmatic level of the explanatory dictionary as an important part for knowing the word and its significance, to increase the lexical and semantic competence of the users of these dictionaries.

**Keywords:** dictionary, explanation of meaning, syntagmatic link, utterances, examples.

### Introduction

The dictionary is a linguistic work that contains a large number of words, alphabetically listed, besides which are given explanations about lexical meanings (in the explanatory dictionaries) or corresponding words in foreign languages (in bilingual or multilingual dictionaries), and complementary frame words, necessary grammatical and stylistic notes, for the field that they are used, sayings, examples etc. Regarding the subject matter included in the dictionary they exploit the lexicon, synonyms, terminology, phraseology, toponymy, onomastics etc, and all the sources of written and spoken languages<sup>1</sup>.

Franz Jozef Hausmann defines the dictionary as a *summary of the lexical units*, which gives particular information for particular users and provides a quick and practical approach for each information<sup>2</sup>. Three important components are inferred on this: lexical information, the medium of presentation (which is related with the dictionary as a tool) and the user of this information which implies the user of the information.

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<sup>1</sup> Fjalor i gjuhës së sotme shqipe, Tiranë, 1980, p. 481

<sup>2</sup> H. Shehu, Çështje të sintagmatikës në fjalorë shpjegues të shqipes, in "Leksikografia shqipe, trashëgimi dhe perspektivë", Tiranë, 2005, p. 161

In the contemporary Albanian dictionary, the word *dictionary* (fjalor) is explained as a "book with the words of one language or with the terms of a particular field of science and technique etc, which are listed according to the alphabet and are explained and translated in another language or in several languages". There are many types of dictionaries. *The explanatory dictionary (terminological, etymological, historical, encyclopedic). The orthographic dictionary, alphabetic dictionary, bilingual (multilingual) dictionary. The big dictionary (medium, small). The pocket dictionary. The dictionary of philosophy (of economy, physics, botanical, medicine). The dictionary of synonyms (of phraseology).*<sup>1</sup>

There are many illustrative examples in dictionaries (saying and quotes) useful for full exposure of meaning and serve as complementary devices for the characterization of the word by showing the area of usage, the typical lexical and grammatical fields and prove the stylistic evaluation and grammatical peculiarity provided to the word. We deal with this aspect of the dictionary as the object of our project. The study of lexical and semantic subject matter, as well as of the sayings provided with examples, has made us to follow closely the alterations all around life in our country.

In the Albanian lexicon, several words go in or out. In other words, dictionaries are compositions that reflect these alterations and changes, and this is particularly visible during the compilation of new dictionaries in several periods of time. An evidence of such changes is the conduct of new meanings of one word, adapted to social- historical situations.

A national dictionary published in Congress of Orthography in 1972 has a normative character, because it reflects the lexicon and synonymic semantics of the standard Albanian. Nowadays, we are witnesses of many controversies regarding our literary language. The explanatory dictionaries, published in the last 30 years give a great contribution for setting the norm, therefore they are very much needed to the teachers, journalists, politicians, creators, not to say that they should be present in every Albanian family's library.

The national explanatory dictionaries provide examples not only from the depth of centuries, but also from all dialects and idiolects, that show the little distinctions we have on the lexical system, where there are more distinctions than in the other linguistic systems. At the same time, we notice the direct connection and interrelation between standard language and dialects and regional speech patterns.

Professor Hajri Shehu, seeing the role of the phrases in a dictionary, emphasizes that "out of context and out of concrete conceptual personal belongings, the word provides indefinite information and has only potential meaning. It fully takes its real meaning, in other words it becomes a semantic unit in a given context or certain situation, where some of its meaning components are neutralized, and some others are actualized. In this aspect, the meaning is the result of the relation between the word and the surrounding background". (see, e.g ; fog of doubt, heart of the earth, edge of the mountain (alb – shoulder of the mountain), an easy going person, dark room, dark thought, dark regime).

Compare: trim the apple (*shartoj* mollën) and shorten the socks (*shartoj* çorapet), the temperature got in 37 degree Celcius (të nxehtët mbërriti 37 *shkallë*) and the high ladder needs strong legs (*shkalla* e lartë do këmbë të forta), etc. If the words, got mad (u tërbua) , got crazy (u marros), got insane (u çmend) will not be put after the words "for her (pas saj)/for him (pas tij)" the meaning will not be "very keen on somebody or something", but the concrete meaning "lost his mind, logic or reason". In relational adjectives, the most attributive feature can be distinguished mainly depending on the context. Compare: for instance "silken dress and silken hair": 1. "soft as silk" and 2. "silky shine".

Particularly, the meanings of multiple -meaning verbs depend especially on the surrounding environment and the interrelation with nouns.

Compare: set the table for the lunch (*shtroj* dreken)/have a lunch for a special occasion (*shtroj* një drekë) / hospitalized his wife (*shtroj* të shoqen në spital) / opened a discussion (e *shtroj* për diskutim) / lay a broody hen (*shtroj* dy pula) / prepare pickled peppers and tomatoes (*shtroj* speca (domate), etc.

Between the internal content of the word (in these examples) and its usage in discourse, that is between its meaning and its apposition to the other word, there is an indispensable discursive connection in the phrase. This connection does not indicate ambiguity on the content of the word or as L.Vidgenstein says: "what can not be expressed in a sign, it is revealed in its usage". So, the lexicographer is obliged to indicate the content of the word without ambiguity, to mirror what is called the actualization of the lexical units<sup>2</sup>.

<sup>1</sup> J. Thomai, Leksikologjia e gjuhës shqipe, Tiranë, 2006, p. 315-316

<sup>2</sup> J. Thomai, Leksikologjia e gjuhës shqipe, Tiranë, 2006, p. 316

### The importance of illustration in the explanatory dictionaries

The word has the ability to connect with other larger units as the phrase, the sentence, or the period, so, we must say that it has *syntagmatic values*. Every word that we select, in every meaning of it, *creates some lexical-syntactic connections with other words, where it reveals the values of its content, the emotional and stylistic nuances, and also the phraseological connected meanings*. So, *dor/w-a f.* (hand) is used in many relations to other words, such as: *dora e djathtë* (e majtë) - (right and left hand , i dha dorën – (shaked his hand to), *prek me dorë*, ( touch with your hand), *ka dorë* – (has a hand-literally; translated as “to beat and be violent”... The early ancient words and those that have many meanings have a wide range of lexical relations and have the possibility for new word combinations. Through these relations, it is fulfilled a lexical agreement, **whereas, in the lexicographical work, they serve to explore the meanings of the word, the different stylistic and emotional nuances as well as the changes in form and content**. *Even the usage of the wide range of oral and written lexemantics is an expression of the richness of thought and language*.

There are full and partial studies regarding the illustrations in an explanatory dictionary. We are considering one of the most prominent authors in our linguistics.

Prof. J.Thomai writes that “Syntagmatics included at the illustrations of the dictionary, which are of two kinds: **graphic** (for example: photography, maps and drawings mainly in the encyclopedic and ideographic dictionaries) and **linguistic** (e.g statements (group of words), and **full examples** (sentences).” In the explanatory dictionaries we usually find illustrations of the second group.

**a. Utterances**, - according to him, - are short group of words, that are put after the explanation of one meaning, to fulfil it with subtle nuances and elements of that meaning, which cannot all be provided just in one explanation. But, utterances have other complementary values in the expressive, emotional and stylistic nuances, in the various kinds of syntactic relations of the word that is explained, in the lexical field and also in all its **syntagmatics and lexemantics**. Utterances show in this way that this word in this meaning is real in language and belongs to this particular field and has these particular features in usage.<sup>1</sup>

To illustrate, we are considering an example from the “Dictionary of the albanian language, 2006”:

Bar,-i *m.sh.* – ëra(t) – (Eng. Grass) 1. A plant with a thin **kërcell** that doesn't become strong as the wood, with long and green leaves, that serves mainly as food for the animals; wet grass and hey; *bad grass* wild grass which damages the crops;

b. According to J.Thomai- “**Examples** serve to complement the explanation of meaning with semantic , emotional, expressive and stylistic, subtle nuances of usage etc . But more than phrases, they give a sense of beauty to expressions and vividness to various discourses. Examples come out from all genders of spoken and written language, from artistic, scientific and educational literature, from journalism, folklore, popular spoken discourses and so on. Based on this, proverbs have this function, too. They are well – chosen sentences, from writings of masters in language and linguistics, not only regular in grammatical construction, adaptable to the nature of Albanian language, but also from the aesthetic construction of expression, through which the reader acquires new values for the word and feels the strength and aesthetic importance of language.”<sup>2</sup> Examples are associated with resources (such as author, writing, press, etc) in order to create certainty to the usage of the word in a given context. Examples usually are inserted in large explanatory dictionaries, but also, in medium-size dictionaries. With a marked and illustrative value at the same time could be even the linguistic phraseology, grouped in a particular meaning, when is connected on the essential elements of the meaning or at the end of the semantic structure of the word, after a specific sign (star or square).

For example; Alb - **dal** (exit) intrans. **dola** (exited) (past tense), **dalë** (participle)

1. *To go out from inside to the outside; to leave from some place and go some place else; left the house; to go out in the*

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<sup>1</sup> H. Shehu, Çështje të sintagmatikës në fjalorë të shqipërisë, in “Leksikografia shqipe, trashëgimi dhe perspektivë”, Tiranë, 2005,

<sup>2</sup> H. Shehu, Çështje të sintagmatikës në fjalorë të shqipërisë, in “Leksikografia shqipe, trashëgimi dhe perspektivë”, Tiranë, 2005

the world, to go for an outing;

*Doli te burri* (conversational) – got married; *doli nga Traktati* – went out from the Tractat;

*V III* springs (buron), flow (rrjedh), gush (vërshon), spreads (përhapet), leaves.

*I dolën djersë (lotë) / sweat / tears went out of; doli naftë / the oil came out; doli nga tema / is irrelevant about the topic;*

2. *V III mbin* (sprout), *rritet diçka* (something grows), *shpërthen* (explode), *lind* (is born), *shfaqet* (një sëmundje) (an illness appears)

3. *Meet somebody; present oneself, be in front of, come across, show up somewhere; I doli përpara të birit* (was in front of his son to meet with); *I doli në ëndërr* (it appeared in the dream); *nuk i dal dot në sy dikujt* (have a difficulty to be in front of somebody's eye)

4. *V III* finishes, is lost, goes away, it doesn't exist anymore: *doli dimri* (the winter is finished); *doli nga përdorimi* (it can't be used anymore); *I ka dalë nga qejfi* (nga zemra); (doesn't like it anymore); *I doli frika* (the fear went out); *I doli nga mendja* (forgot); *I dolën të palarat* (the cat went out of the bag)

c. Professor Hajri Shehu by creating a new term of syntagmatics in the dictionary, the term **exemplification**, emphasizes that *exemplification in a dictionary, the illustration of glossies by examples, the word joined to another word, is one of three lexicographical techniques, (the others are: explanation in the wide sense of the word in lexicography, and equivalence in bilingual dictionaries). We deeply understand the value of illustration:*

**Dictionaries do display the need of an ecological function, that is, the contextual interaction for the common interrelation of the words.**<sup>1</sup>

In scientific rather more encompassing outlook, he introduces his conceptual view over exemplification, when and how should be done this type of exemplification, for which lexical and semantic categories should be done, and how much volume should they occupy in semantic terms.

Theoretically, a relevant examination on "Syntagmatic issues in Albanian dictionaries, held in the conference. The Albanian Lexicography – a past inherited experience and a coming prospective, Tirana 2005 has constantly been one of the major theoretical sources of our research. In a further recapitulation we are introducing some notable arguments.

We are summarizing some of these arguments<sup>2</sup>:

1. The lexical association of words from the logical relations that exist in the real activity between the objects and the phenomenon that is marked by the word (see for e.g : group of words that deal with the way people are categorized regarding physical and moral features: (it is said – she has a *sweet mouth* (gojë të ëmbël) and not (*sweet teeth*). This type of regularity might be called the law of valence and the lexicographer can't avoid these laws.

2. Valence is a potential interconnection of linguistic units, in other words a possibility to interconnect in the discourse according to the linguistic system. In the dictionary, the possibility becomes reality, the valence converts in a real unit interconnection. This means that valence (association) as a linguistic possibility and as an actualization reflects the dichotomy language-discourse, language-linguistic activity, (for example; *good* can have indefinite interconnections, but, in discourse in the meaning (i djathtë) - *right* can be connected only with *hand/ foot/ eye*).

3. The word entirely acquires its real meaning by " being semantically involved in a context or a certain situation , where some of its components of meaning are neutralised and some others are updated. On this aspect, the meaning is a result of the interrelation of the word with the surrounding environment, (for e.g, fog of doubt, bulk of the earth , edge of the mountain , a good mixer (njeri i shkueshem), dark thought , etc. Between the internal content of the word and its usage in discourse, there is one indispensable connection in the word group , a connection that indicates which is the content of the word, or as L.Vitgenstein says, "that which cannot be expressed in the sign, appears in its usage " .

<sup>1</sup> A. Kostallari, Parimet themelore për hartimin e "Fjalorit të gjuhës së sotme shqipe" in "Studime mbi leksikon dhe mbi formimin e fjalëve në gjuhën shqipe", II, Tiranë, 1972, p. 45-47.

<sup>2</sup> Niepełnosprawność – zagadnienia, problemy, rozwiązania. Nr I/2013(6)

4. 'Phrases' deal with active-type dictionary. The lexico-semantic meaning is regarded as a system of its usage ( of linguistic contexts). Semantic possibilities of the word , appear not only to show the notion content , but primarily, by representing the whole typical distribution of a given word. (see, for example: (besa) loyalty is given, (kept, broken, returned) meanwhile, the duty can be (done , fulfilled, avoided); *I have a fever* (jam me ethe), is semantically different from *I am anxious* (jam në ethe)- in a figurative sense. , In the table (*tryezën e bukës*) we can eat food, while in the round table (*tryezen e bisedimeve*) we cannot. The constituent meaning of the word has a wide range of usages , depending on source of context , that reflect the word life in linguistics . These contexts go within word's semantics and have a proper usage. ( compare : for example, *comb my hair* (kreh flokët) / *comb the wool* (kreh leshin), *shorten the text* (kreh tekstin) etc .

5. Phrases in a dictionary show what is possible or acceptable, because, as we know, there is a lexicographical law- the impossible or unacceptable frameworks and forms are not given in a dictionary. They serve to show the prescriptive, grammatical position, (as in: *current/ electric light*, *electric squeezer/ electric egg-beater*)

6. Syntagmas or sayings in a dictionary illustrate the grammatical behavior , (phonological , morphological and syntactical ) of the word (for example, the type of the object :*She wrote a letter and she wrote a letter to her brother*, the type of the adjective : *wide table \ square table* etc . It is the dictionary which has the obligation to do this , to give to the user vivid contexts , in order for him to understand the rules, as well as the semantic and grammatical principles of the words.

7. In the Albanian dictionaries, a special place is given to the reflecting of the popular lexicon with potential literary value (for known reasons) or even the creating of words with e potential literary value. The interconnection with other words of the language, shows them the way and the place to gain the real literary value status, because the uncertainty of the meaning/meanings is lessened a lot. (të vjerrët / euph. "të vdekurit" (the dead)

This is also one of the reasons that these kind of words are presented with expressions, and, at the same time, it is one of the values that is brought by not only the national Albanian dictionaries, but also by the dictionaries with popular words and expressions from the regions. For the syntagmatics in a lexicographic work, it has also been written by Proff. Androkli Kostallari. Although he speaks about the essential principles for the design of "The Dictionary of today's Albanian language", thus, about the principles of the reflection of the illustrations covering a specified work, they have a great value for each Albanian language dictionary.

d. We are presenting a general summary of these principles according to prof. Androkli Kostallari.<sup>1</sup>

1. *Definitions of meanings and semantic variety of words are associated regularly and are verified with illustrative material (quotations and sayings).* With the term **utterance**, we understand the typical illustrating examples that have a wide use in our time, and are compiled by the designers and editors of "the dictionary" based on materials of "Record section of the vocabulary of the Albanian language", as well as of their own precise knowledge of self experience.

2. The illustrative examples help the exploration of a complete understanding and serve as a complementary tool for the characterization of the lexeme, showing the sphere of its use, the typical lexico-grammatical associations, verifying the stylistic and the grammatical characteristic given to the word. To this general principle, it should be subjected even the phraseology, when it can perform such functions.

## Conclusions

The word has the ability to group with other words in larger units, such as: the phrase and the sentence. Through these connections , a linguistic agreement is created. Prof.Hajri Shehu, by defining a new term for the syntagmatics in a dictionary , the term- **exemplification** emphasizes that : **dictionaries need the ecology of the words, that is,**

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<sup>1</sup>Regulation of Minister of Infrastructure of 12 April 2002 on the technical conditions which must be met by buildings and their location, Journal of Laws, 2002, No 75 item 690, as subsequently amended; Regulation of Minister of Infrastructure on the technical conditions which must be met by buildings and their location. Journal of Laws, 2011, No 144, item 859, as subsequently amended; The Construction Law of 7 July 1994 Journal of Laws of 2016, item 2255; Kowalski K. Mieszkanie dostępne dla osób z dysfunkcjami wzroku; Biblioteka dla Osób Niepełnosprawnych, www.integracja.pl; Nowak E., Budny J., Kowalski K. Mieszkanie dostępne dla osób z dysfunkcją narządu ruchu; Biblioteka dla Osób Niepełnosprawnych, www.integracja.pl; Kowalski K. Planowanie dostępności – prawo w praktyce; Biblioteka dla Osób Niepełnosprawnych, www.integracja.pl;

**contextual interrelations, for the usual interrelations of the words.**

**Utterances** show that the word in this sense is real in the language and has this field and features of use, while **the examples** serve to complement the explanation of the meaning with subtle semantic, exciting, expressive, stylistic nuances of the usage etc, but, more than utterances, they give the beauty of the expressions with the words that are used, its vividness in different discourses.

They are well selected sentences from the writings of masters of language, as regular not only in the linguistic construction, in accordance with the nature of the Albanian language, but also in content and "aesthetics" of expression, through which the reader gains new values for the word and feels the beauty and the strength of language. Examples are associated with their source to create a sense of security in the use of the word in a given context.

Since the dictionaries are irreplaceable works in school, we have tried to have in mind even our work as a teachers of language and literature. And syntagmatics has a multiple function in this regard.

We believe that this paper **can be addressed to the post-graduate students, to the teacher of the Albanian language in school, the researcher, the lexicographer, the interpreter, the journalist, the creator of literary and finally to the citizens**, who are associated with the Albanian word, with valence and its multiple links, diverse and implicated with other words, directly or indirectly, in one form or another, in a discourse or another, in one style or another, in the synchronic plane or the diachronic plane.

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<sup>1</sup> It is worth clarifying, at this point, that although the Resolutions of the UN General Assembly are part of what is commonly known as softlaw, in this particular case, and because it is a directive or resolution necessary to comply with contents agreed in International Treaties of Human Rights that do have a binding nature (hardlaw), this Resolution must be understood with sufficient force and obligation to bind the States that are part of the Treaties that are referred in it. In addition, this binding nature is also due to the very content of the Resolution, which, by incorporating the expression of General Principles applicable to international law, and by condensing international obligations of States in accordance with common law, endows Resolution of a mandatory qualification, specifically for the Colombian State (Colombian Commission of Jurists, 2007, p.22).

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## Labour Market Flows: Evidence for Austria and Croatia

Sanja Blažević Burić, PhD, Assist. Prof.

Juraj Dobrila University of Pula, Faculty of Economics and Tourism "Dr. Mijo Mirković"

### Abstract

The aim of this paper is to provide a broader theoretical and empirical framework for investigating the labour market dynamics, which is interpreted as transitions of individuals between different labour market states. The contribution of this paper is reflected in the topic's underrepresentation and the fragmentation problem of conclusions that arise from studies that have been conducted so far. The sample encompasses labour market indicators on transition rates between different labour market states for Austria and Croatia in order to address the issue of labour market dynamics adequately and make a comparison between two different countries in respective to their labour market stability. The analysis is focused on determining the nature of labour market flows and their relation to the size of labour market contingents (changes in number of unemployed, employed and inactive people) for the period between 2010 and 2016.

**Keywords:** labour market flows, transition rates, Austria, Croatia, labour market contingents.

### 1. Introduction

The purpose of labour economics, as a scientific discipline, is to understand the functioning of the labour market and the intertwined relationships among many labour market stakeholders. Among the most important (and most popular) indicators of the economy's health are the indicators of employment and unemployment levels. General equilibrium and full employment theory emerged in the very conception of labour economics, when it was sought to establish Walras' societal equilibrium. In 1945, Beveridge interpreted full employment as "unemployment that is reduced to short intervals of standing by, with the certainty that very soon one will be wanted in one's old job again or will be wanted in a new job that is within one's powers" (Gazier, & Schmid, 2002, p. 2). At that time, the importance of unemployment duration and of flows from unemployment to employment and vice-versa has already been noted. The importance of labour market dynamics has been recognized.

The aim of this paper is to provide a broader theoretical and empirical framework for investigating the labour market dynamics, which is interpreted as transitions of individuals between different labour market states. The contribution of this paper is reflected in the topic's underrepresentation and the fragmentation problem of conclusions that arise from studies that have been conducted so far. The emphasis is put on flows in order to obtain further information about the nature of these movements. The sample encompasses labour market indicators on transition rates between different labour market states for Austria and Croatia in order to address the issue of labour market dynamics adequately and make a comparison between two different countries in respective to their labour market stability. The analysis is focused on determining the nature of labour market flows and their relation to the size of labour market contingents (changes in number of unemployed, employed and inactive people) for the period between 2010 and 2016.

### 2. The Importance of Investigating Labour Market Dynamics – Literature Review

The OECD (OECD Glossary) describes flows, in the context of labour market dynamics, as the experience of individuals on the labour market, i.e. transition between three different labour market states – employment (E), unemployment (U) and inactivity (I). Each state can be further decomposed based on specific elements. The labour market is a dynamic phenomenon. If we focus solely on static reporting (stocks), we do not take into account the causes and the background of different labour market conditions, i.e. we do not decompose the state regarding the elements that caused that same state. Conclusions of the session that was organized in 1996 by the International Labour Organization indicate that the labour market dynamics is considered as "measurement over time of changes in the activity status of individuals (employed, unemployed and inactive) and of changes in jobs of employed persons - either in terms of persons who have experienced changes; or the duration of completed spells in status or job situations" (Stibbard, 1999, p. 2).

Labour market states change are also interpreted as "labour market bridges" (Kruppe, 2002, p. 280) that can include: (1) transitions between various employment statuses, (2) transitions between unemployment and employment, (3) transitions between education or training and employment, (4) transitions between private and labour market activity, (5) transitions between employment and retirement. Except the analysis of changes between different labour market states, additional analytical and interpretative value is also seen in the domain of a deeper analysis of individuals in a specific status as well as external impact factors.

For example, considering the employment status, we can analyse workers in terms of their demographic characteristics (age, gender, education, marital status, household status, and urbanization level of their living environment), characteristics of their working status (by activity, occupation, working hours, and work experience) but also according to the income characteristics (wage, work satisfaction, dependence on other subsidies).

In the context of unemployment state, given that we know (Detzel, & Rubery, 2002, p. 113) that unemployment risk is unevenly distributed across the population of unemployed based on age, gender, education and occupation, it is possible to decompose the status with regard to the nature/type of unemployment (frictional, structural and cyclical), characteristics of unemployed persons given the existence and persistence of unemployment, unemployment spells, incidence of unemployment, demographic and socio-economic characteristics, causes of unemployment such as quits, lay-offs and discharges (McConnell, Brue, & Macpherson, 2012, p. 544). For example, Borjas (2010, p. 501) identified four profiles of unemployed with regard to the causes for becoming unemployed - job losers, job leavers, reentrants and new entrants.

While analysing the inactive part of the working-age population, we also have different variations due to the reason of their status (discouraged workers, education, housewives, institutionalized) and inactivity duration.

The labour market efficiency measurements based on the static assumptions of workers and jobs homogeneity do not include a complete framework of complex relationships and many influences that affect the constant circulation of labour market stakeholders. "If the interaction between flows and levels is to be captured, an integrative approach is required. This is, however, more easily said than done" (Kruppe, 2002, p. 278) especially due to (un)available statistical databases. Most statistical agencies track the unemployment rate and the number of unemployed at a given point of time, which can underestimate the real nature of the unemployment problem (Borjas, 2010). It is important to observe the relationship between unemployment and employment as well as changes in the status such as unemployment outflow rate or employment inflow rate (Harris, 1996). In a static analysis, it is often considered that the decline in employment causes unemployment to rise but it depends on the participation rate and changes in unemployment outflow/inflow (Stibbard, 1996; Boon, Carson, Faberman, & Ilg, 2008; Ehrenberg, & Smith, 2012, p. 495-530). Each of the mentioned causes requires a specific approach. In the static approach we will notice that in month  $t$  there are  $X$  unemployed persons while in month  $t+1$  there are  $Y$  unemployed persons but the question is what is the ratio between  $X$  and  $Y$  and what happened to the remaining persons. Another fact is that the rate of unemployment of a certain size  $X$  does not mean that for every labour market participant there is a probability level  $X$  of becoming unemployed. In a long-term perspective, labour market status does not assume only values 0 and 1. A person can remain in status 0 for some period and the remaining period he or she can be in status 1 (Akerlof, & Main, 1981). For example "an 8 1/3 percent unemployment rate could be generated by a labor force of which each member is unemployed one month per year, or it could be generated by a labor force of which one-twelfth is unemployed for the whole year. The real-world situation may be expected to lie somewhere between these two extremes" (Akerlof, & Main, 1981, p. 141).

According to Stibbard (1993, p. 3), labour market dynamics covers the following areas: (1) gross flows measuring transitions between labour market 'states', (2) labour and job turnover rates, (3) the creation and termination of jobs, (4) births and deaths of firms and their life cycle, (6) job tenure, (7) job security, (8) frequency and length of periods of unemployment, (9) aspects of labour market flexibility and mobility, (10) the profile of individuals' earnings over a period of time, (11) absences to have or raise children and re-entry to the labour market, (12) the transition from full-time education into the labour force, (13) the move from work into retirement and (14) other.

The complexity of labour market status change is an area worthy of research interest given the heterogeneous nature of the relationships. The value of available but unexplored information "conceals complex and interrelated processes that are important for understanding the causal dynamics that would enable us to make reliable forecasts and sensible suggestions for policy intervention" (Kruppe, 2002, p. 278). In 1996, the International Labour Organization launched an initiative to establish a methodological framework for the analysis of labour market dynamics and their findings were published in a 1999 report, which accentuated the importance of expanding the labour market statistical coverage and the need to invest

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more effort in expanding the labour market coverage outside the traditional (static) one (Stibbard, 1999). Alongside the International Labour Organization, other relevant organizations and agencies such as the OECD, Eurostat and the Bureau of Labour Statistics expand labour market indicators but, given the long-standing discussion among scientists on the importance of monitoring labour market dynamics, the current methodological basis is still in the development phase.

Wladimir S. Woytinsky is a pioneer in considering labour market dynamics. At the beginning of the 1940s, when labour economics was at its beginning phase as an independent discipline in the area of economic science, he pointed out the significant results of observing labour market changes and the need for conducting a deeper analysis (Woytinsky, 1942). After Woytinsky, there was a periodical review of labour market dynamics, mainly as a response to new insights and the establishment of new theoretical frameworks in labour economics: relationship between vacancies and unemployment (Beveridge curve), between inflation and unemployment (Phillips curve), the importance of information costs (Stigler), matching function (Holt, David), the existence of labour market frictions (Phelps) and similar models (for more about the history of labour market models see Schettkat, 1996, and Holt, 1996). A series of studies in 1970s published as Brookings Papers on Economics Activity (Perry, 1972; Marston, 1976; Clark, & Summers, 1979) was the first more relevant period of reviewing the importance of monitoring labour market dynamics. In 1980s, the discussion continued through the development of empirical studies on individual economies and such periodic practice continued to this date.

Many papers evaluated labour market dynamics. Examples cover sets of European countries (Ward-Warmedinger, & Macchiarelli, 2013), but also individual countries like Estonia (Haltiwanger, & Vodopivec, 2002), Greece (Daouli, Demoussis, Giannakopoulos, & Lampropoulou, 2015), Italy (Fabrizi, & Mussida, 2009), Germany (Blossfeld, & Mayer, 1988; Gangl, 2003), Portugal (Teixeira, 2001), Slovenia (Haltiwanger, & Vodopivec, 2003; Vodopivec, Laporšek, & Vodopivec, 2016), United Kingdom (Harris, 1996; Gil-Alana, & Henry, 2003; Gomes, 2010), United States of America (Gangl, 2003; Ravn, & Simonelli, 2007; Yashiv, 2007; Finegan, Peñaloza, & Shintani, 2008; Nekarda, 2008), and Pakistan (Arif, Kiani, Sheikh, & Iqbal, 2003). Among the relevant books, we should mention Neumann's and Westgard-Nielsen's (1984) and Schettkat's edited books. More recently, labour market dynamics has been considered in the context of social change and potential problems such as social exclusion that the labour market transition can alleviate (Schmid, & Gazier, 2003).

According to all of the above, the current state in this research area is considered to be exploratory, i.e. efforts are still made to find out distinct insights on labour market dynamics which should receive a greater socio-political consensus. Regardless of more than 70 years of research and a slight progress in implementing the results (expanding the statistical coverage), the impression is that the interpretation is still mainly based on a static representation of the labour market which makes it difficult to implement quality political decisions. Some of the issues that have been recognized in the recent literature (Stibbard, 1999; Wolfers, 2005) which still exist are: low priority of this topic especially among national statistical agencies, lack of a universally accepted framework for labour market statistics, fragmentation and lack of dissemination of labour market dynamics data, lack of time-series data consistency, and seasonal character of labour market variables.

The abovementioned problems, that have an interpretative-analytical-methodological character, precisely represent the contribution of this paper. Analysing patterns of labour market state change and causes that influence the nature and direction of that change will provide a powerful foundation for better understanding of labour market functioning. The universal consideration of labour market problems, such as low employment rate, high unemployment rate or low participation rate, cannot provide targeting and unique solutions. For example, different types of public policies and programs are applied in different types of unemployment and a single solution cannot be expected when the problem is so complex (McConnell, Brue, & Macpherson, 2012: 561). Goal of this paper is to accentuate a need a continuous conduction of the analysis of labour market dynamics in order to reveal what is happening with specific labour market contingents. Although Eurostat did made an effort to upgrade labour market statistics (which data is used in this paper), there is still much room for modernizing. For example, the Bureau of Labor Statistics of the United States has launched three data sources that measure labour market dynamics and contribute in understanding the comprehensive picture of the U.S. labour market - Job Openings and Labor Turnover Survey (JOLTS), Business Employment Dynamics data (BED) and Current Population Survey (CPS). The purpose of these sources is to add new knowledge on the causes regarding certain problems, or to provide assistance in understanding the overall labour market functioning and its relation to business cycles and specific policies (Boon, Carson, Faberman, & Ilg, 2008).

A literature review suggests that labour market dynamics is a current topic with strong research capacity. Numerous studies explore the dynamics in national and international context, while statistical agencies listen to recommendations and strengthen the labour market methodological framework in order to increase data availability. Labour market dynamics is

an internationally recognized topic, but the problem of fragmentation regarding the research findings is very pronounced, and this is another motivating factor to investigate this research problem.

### 3. Labour Market Flows – Evidence for Austria and Croatia

In this research, the purpose of which is to investigate labour market dynamics, two labour markets were selected – the Austrian and the Croatian market. The reason for choosing these two economies lies in their differences in labour market functioning, but also in many existing similarities, such as the legal system and a partly common cultural background. Although Austria has a larger population, we are analyzing two relatively small, geographically close European countries. Economically speaking, Austria is more prosperous country than Croatia (GDP per capita in € per inhabitant for 2013 was 32,200 for Austria and 8,400 for Croatia) but their economic structure does not differ much.

Before we start analyzing the labour market dynamics, i.e. the transition rates between different labour market states of these two countries, it is necessary to describe the size of labour market contingents, as well as to show basic labour market indicators, in order to get a wider context of these two labour markets. Below is an overview of basic labour market indicators followed by an analysis and interpretation of labour market functioning for both countries.

Table 1. Basic labour market indicators for Austria and Croatia (2010:2-2016:4)

Table 2. Changes in labour market contingents for Austria and Croatia (2010-2016)

The Austrian labour market shows greater stability than the Croatian labour market, in which unemployment rate varies greatly from 2010 to 2016 and it is three times higher than that in Austria. The activity rate in Croatia is much lower than the one in Austria, and the situation is the same for the employment rate. Employment and activity rates in Austria show similar patterns regarding their dynamics, while unemployment is stable around 5.5 – 6 %. The Austrian labour market demonstrates positive trends in terms of the size of its contingents. Although the number of unemployed grew significantly, we can presume that it does not present a serious problem because of its character (high dynamics among unemployed, i.e. short-term unemployment), since the active population rose by 6 % in this 7-year period and the number of employed people by 4.4 %.

Croatia has negative trends in all labour market aspects – the number of employees is decreasing, the number of unemployed has been increasing until 2016, and the size of the active population has decreased by 4 %. As the inactive population size decreases, the number of people capable for work also decreases. The reason for these negative trends can surely be found in the economic crisis, insufficient business activity (inadequate number of new job openings) but also in the emigration.

The following graphs and analysis show the transition rates from one particular state (employment, unemployment or inactivity) to a second state (employment, unemployment or inactivity) for the Austrian and Croatian labour market. Thus, there are nine possible combinations – from employment to unemployment (E - U) and inactivity (E - I); from unemployment to employment (U - E) and inactivity (U - I); from inactivity to employment (I - E) and unemployment (I - U); as well as the transition or remaining in the observed state – remaining in employment (E - E), unemployment (U - U) or inactivity (I - I). The transition rate (TR) is calculated as follows:

$$TR_{STATE_1 \rightarrow STATE_2} = \frac{\#(STATE_1 \rightarrow STATE_2)}{\#(STATE_1)} \quad (1)$$

The transition rate is equal to the number of people who made a transition from the first state to the second state divided by the number of people in the first state in the observed period. The following figure shows the average quarterly transition rates between different states on the Austrian and Croatian labour market.

Figure 1. Average quarterly transition rates between different labour market states 2010:2-2016:4

The *unemployment* dynamics reveals the largest difference between Austria and Croatia. The average quarterly transition rate from unemployment to employment is 27.71 % in Austria and 11.17 % in Croatia, which means that in Croatia, 11.17 % of unemployed people become employed in the following quarter, while in Austria this percentage is more than two times higher. In Austria only 51 % of unemployed people remain unemployed in the following quarter, whereas in Croatia, a much larger share of unemployed people (more than 83 %) remain unemployed, which is not surprising, given the well-known

problem of long-term unemployment, where more than half of the registered unemployed people are unemployed longer than one year.

Both countries show employment stability, while a large difference is seen in the transition from inactivity to employment – in Austria 6 % of inactive people become employed, while in Croatia that share is smaller than 2 %. Somewhat greater dynamics can be seen on the relation from unemployment to inactivity in Croatia than in Austria. The same conclusion can be drawn about transition rates from employment to unemployment.

The following figures reveal a more elaborate analysis of average quarterly transition rates between different states (employment, unemployment and inactivity) according to different periods – years (2010 - 2016) and quarters (Q1 – Q4). We will analyze nine different combinations of changes between different labour market states in Austria and Croatia, in order to attain a more detailed context of labour market functioning.

Graph 1. Average transition rates from employment according to different periods (years and quarters)

#### From employment to employment (E – E)

Austria has a stable transition rate of employed people who remain employed in the following quarter, with slow growth of the transition rate through the years. The total number of people who remain employed in relation to the previous quarter increases by time. Over the observed period, the number of employed people increased by more than 176,000 or by 4.4 %, while the number of people in this state grew by more than 210,000 people or 5.5 %.

Since 2010, the transition rate in Croatia is decreasing, i.e. the number of employed that remain employed is decreasing in reference to the total number of employed people. The number of employees in Croatia decreased by almost 90,000 people or by 5.4 %, while the number of people who were employed and remain employed in the following quarter also decreased by almost 140,000 people or by 8.4 %.

The number of employees in Austria grows but the stability of employment grows more rapidly, while in Croatia the number of employees decreases and the number of employees who remain employed falls faster, which means that the transition rate rapidly falls. The quarterly dynamics is different in terms of the 1<sup>st</sup> and the 4<sup>th</sup> quarter. In Croatia, the 1<sup>st</sup> and the 4<sup>th</sup> quarter are more stable, while in Austria, the 2<sup>nd</sup> and the 3<sup>rd</sup> quarter show higher stability of employment.

#### From employment to unemployment (E – U)

Austria shows higher stability in terms of the transition from employment to unemployment. Throughout the entire observed period, the rate remains almost unchanged, while in Croatia it has much higher variability. In Austria, the number of people moving from employment to unemployment grew by 4,800 or 9.9 %, but these figures are not impressive in reference to the number of employed people, which also increases. The situation is significantly different in Croatia. From 2010 to 2016, the number of people moving from employment to unemployment has almost doubled, which means that, in 2016, from quarter to quarter, twice as many people move from employment to unemployment (36,250 people) as in 2010. We can observe a low transition rate in the 2<sup>nd</sup> and 3<sup>rd</sup> quarter (less than 1 %), while the 1<sup>st</sup> and 4<sup>th</sup> quarter show quite high transition rates (seasonal effect).

#### From employment to inactivity (E – I)

In Austria, there is a slow but steady decline in the number of employed who transit towards the inactive part of the population, compared to the total number of employed people (which is growing). In Croatia, the years 2011 and 2016 were significant in terms of moving from employment to inactivity. That can be explained by the impact of the economic crisis (2011) and probably by the rising number of working people emigrating towards more developed European countries (2016). In both countries, the 4<sup>th</sup> quarter has the largest inflow of employees who become inactive.

Graph 2. Average transition rates from unemployment according to different periods (years and quarters)

#### From unemployment to unemployment (U – U)

During the observed period, in Austria, the number of unemployed people who remain unemployed grew faster in relation to the total number of unemployed people, thus the transition rate continuously increases. Except for the year 2016, Croatia records a quite high share of people who were unemployed and remain that way. In 2016, compared to 2015, the number of people who remain unemployed decreased by 46 %, while the total number of unemployed people fell by more than 21 %, which affected the decline in the transition rate. The decline in the number of unemployed people is certainly under the

influence of favorable economic trends, the rising emigration and the exit out of unemployment status of registered unemployed people due to retirement or other reasons.

#### From unemployment to employment (U – E)

The transition rate from unemployment to employment in Austria is decreasing over time, while the number of people who transit is stable until 2016, when it grows by 5.4 % to 67,750 people. In Croatia, from 2012, the transition rate grows, with its highest peak in 2016, when the number of unemployed who become employed grows by 14 % to 44,500 people per quarter on average. Since the total number of unemployed declines, it affects the transition rate, which increases.

#### From unemployment to inactivity (U – I)

Austria has a relatively stable transition rate from unemployment to inactivity. On average, per quarter, 20 % of unemployed people become inactive. Unfortunately, Croatia has no data available prior to 2016, thus it is not possible to compare the transition rates between the two countries for the entire observed period. In 2016, Croatia has a much higher share of unemployed who become inactive, with the 3<sup>rd</sup> quarter as the most pronounced.

Graph 3. Average transition rates from inactivity according to different periods (years and quarters)

#### From inactivity to inactivity (I – I)

Austria is characterized by a stable transition rate from inactivity to inactivity. The number of inactive people who remained in the inactive state has not changed much since 2010. As the total number of inactive people also remained unchanged, the transition rate is quite stable.

In Croatia, we observe a slow decline of the transition rate, which is higher than that in Austria. In 2016 compared to 2015, there was a pronounced drop by 5 percentage points due to a decrease in the number of inactive people who remained inactive by 2.8 % and an increase of the inactive population by 2.7 %.

#### From inactivity to employment (I – E)

The transition rate from inactivity to employment has a continuous decline in Austria. There has been a decrease by 24 % to 120,750 people on average per quarter, in 2016 compared to 2010. The transition rate in Croatia, which is much lower than that in Austria, shows higher variability. However, in 2016 there has been a significant jump of moving from inactivity to employment.

#### From inactivity to unemployment (I – U)

Throughout the entire observed period, Austria experienced a continuous decline in the transition rate from inactivity to unemployment due to the growing number of people who move between these states, while the size of the inactive population remained relatively unchanged.

In Croatia, the transition rate fluctuates. It grew until 2014, followed by a fall in 2015 and a sudden increase in 2016. The peak in 2016 was a consequence of the large increase (more than 250 %) of the size of the inactive population that transfers towards unemployment, while at the same time the size of the inactive population increases, although at much lower rates.

### **4. Conclusion**

The aim of this paper was to investigate the labour market dynamics of two chosen labour markets – Austrian and Croatian, based on the fact that labour market dynamics is an underrepresented topic and that there are many fragmented conclusions regarding labour market functioning. The emphasis is put on transition rates between different states on the labour market – employment, unemployment and inactivity. The analysis is focused on determining the nature of labour market flows and their relation to the size of labour market contingents (changes in number of unemployed, employed and inactive people) for the period between 2010 and 2016.

In table 3 we summarized the findings on the nature of the transition rates for Austrian and Croatian market.

Table 3. Summary of findings on labour market dynamics in Austria and Croatia

The Austrian labour market shows greater stability than the Croatian labour market, in which unemployment rate varies greatly from 2010 to 2016 and it is three times higher than that in Austria. The activity rate is much lower than that in Austria

and the same situation is in regards to the employment rate. Employment and activity rates in Austria show similar trends. While unemployment is stable, the number of unemployed grew significantly

Croatia has negative trends in all labour market aspects – the number of employed people and the size of the active population is decreasing, while the number of unemployed is increasing, except in 2016. However, as the size of inactive population decreases, the number of people capable for work also decreases. The reason for these negative trends can surely be found in the economic crisis, insufficient business activity (new job openings) but also in the emigration.

In Austria, the quarterly transition rate of people who are employed and move towards the other labour market states show positive trends – transition of those who remain employed grows, transition towards unemployment is stable, while the transition to inactivity declines. In Croatia we observe negative trends regarding the unemployment dynamics, which are reflected in the decline of the transition of people from employment to employment; growing transition rate towards the unemployment and the variability of transition towards inactivity.

The number of unemployed people in Austria grows, which affects the transition rate from unemployment to other labour market states. The share of unemployed people who remain in that state, in relation to the total number of unemployed, grows while the transition towards employment declines. The dynamics of employees moving towards the inactivity remains stable throughout the entire observed period. For Austria, unemployment dynamics shows somewhat worrying results because of its worsening over time. In Croatia, unemployment dynamics reveals different patterns in 2016 when the transition towards unemployment declines and towards employment grows. These positive figures are the result of the significant reduction in the number of unemployed due to positive economic trends but also due to some negative phenomenon such as high emigration numbers.

The inactivity dynamics shows similar patterns for Austria and Croatia although the transition rates in Croatia for all three labour market states reveal more negative trends than those in Austria. Transition rate of people who were inactive, and remain in that state, is stable over time in Austria. In Croatia, we see a decline in 2016 due to the growing number of inactive people. The transition towards the employment declines in Austria while in Croatia shows high variability. Number of inactive people, moving towards unemployment, grows both in Austria and Croatia. These findings reveal that the dynamics of inactive people also seems to be worrisome for both labour markets.

The labour market dynamics is a current topic with strong research capacity. We hope that we accentuated the importance of implementing the findings regarding the labour market dynamics. Main goal was to reveal a wider picture of labour market trends and to move away from the superficial statistical labour market indicators.

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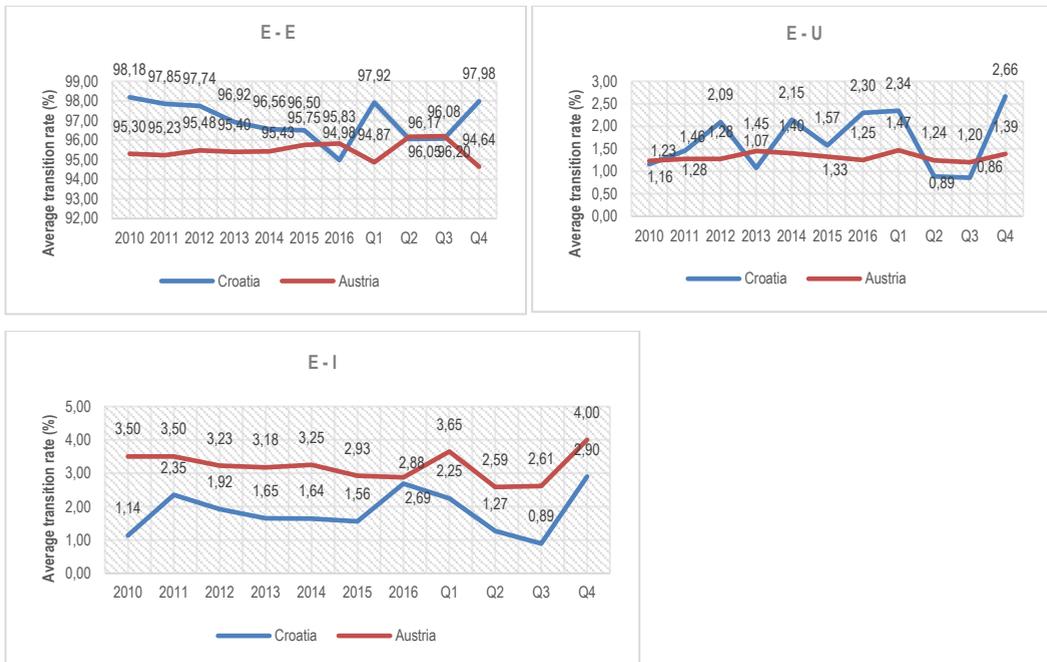
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**Footnotes**

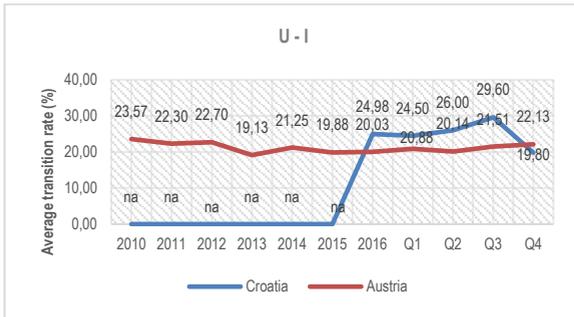
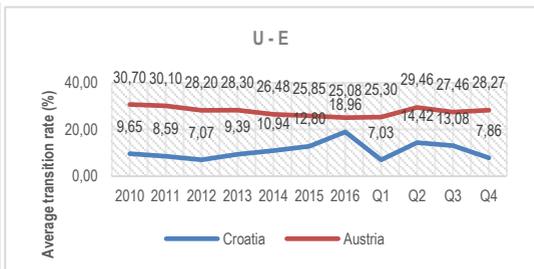
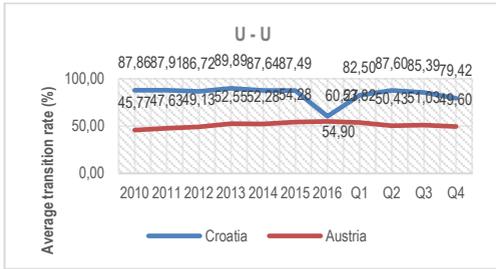
Analysis of national accounts shows that the distribution of gross value added per sectors is quite similar between Austria and Croatia.

**Graphs**

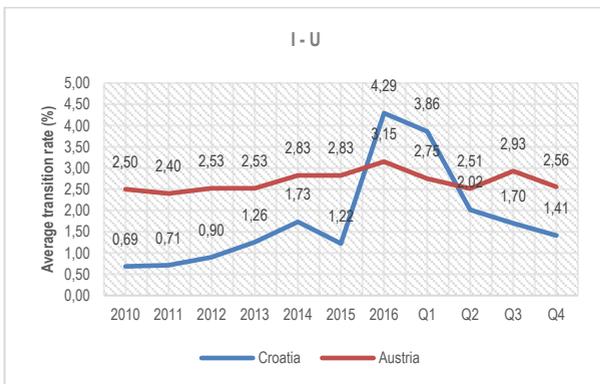
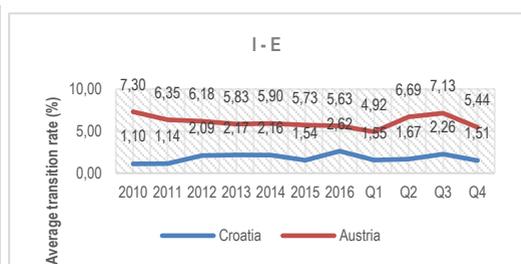
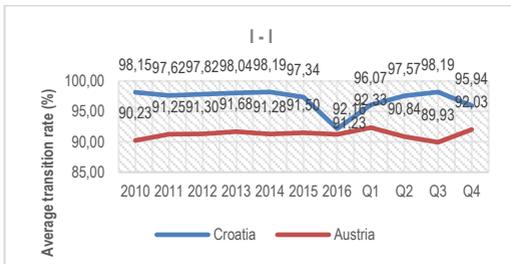
Graph 1. Average transition rates from employment according to different periods (years and quarters)\*



Source: Author according to Eurostat database, retrieved from: <http://ec.europa.eu/eurostat/data/database>. \* E - employment, U - unemployment, I - inactivity Graph 2. Average transition rates from unemployment according to different periods (years and quarters)\*



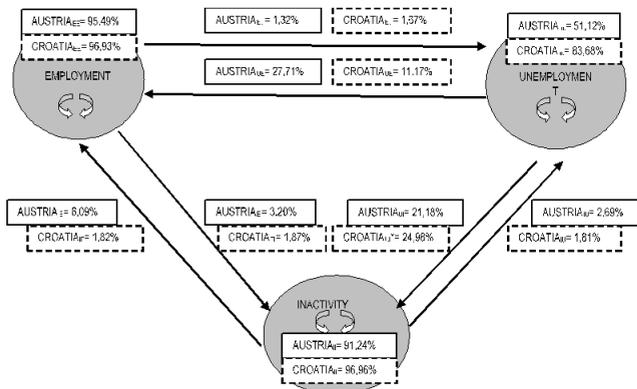
Source: Author according to Eurostat database, retrieved from: <http://ec.europa.eu/eurostat/data/database>. \* E - employment, U - unemployment, I - inactivity



Source: Author according to Eurostat database, retrieved from: <http://ec.europa.eu/eurostat/data/database>. \* E - employment, U - unemployment, I - inactivity

**Figures**

Figure 1. Average quarterly transition rates between different labour market states 2010:2-2016:4



Author according to Eurostat database, retrieved from: <http://ec.europa.eu/eurostat/data/database>

**Tables**

Table 1. Basic labour market indicators for Austria and Croatia (2010:2-2016:4)

Indicator	Austria	Croatia
Average employment rate	63,17%	48,76%
Average unemployment rate	5,30%	15,20%
Average activity rate	66,70%	57,50%

Source: Author according to Eurostat database, retrieved from: <http://ec.europa.eu/eurostat/data/database>

Table 2. Changes in labour market contingents for Austria and Croatia (2010-2016)

Indicator	Austria		Croatia	
	Growth 2016/2010	Average size in 2016	Growth 2016/2010	Average size in 2016
Population capable for work	+ 3,76 %	6 606 540	-2,89 %	3 191 720
Active population	+ 6 %	4 473 730	- 4 %	1 826 830
Inactive	+ 0,33 %	2 138 430	-2,62 %	1 358 030
Employed	+ 4,4 %	4 203 700	- 5,4 %	1 587 080
Unemployed	+ 36 %	270 030	+ 6,85 %	239 750

Source: Author according to Eurostat database, retrieved from: <http://ec.europa.eu/eurostat/data/database>

Table 3. Summary of findings on labour market dynamics in Austria and Croatia

Transition states (From – To)	Austria	Croatia
E - E	Growth	Decline
E - U	Stable	Growth
E - I	Decline	Fluctuating, peak in 2011 and 2016
U - U	Growth	High and stable until 2015, decline in 2016
U - E	Decline	Growth
U - I	Stable	Higher than Austria (2016); no data before 2016
I - I	Stable	Stable, decline in 2016
I - E	Decline	Fluctuating, growth in 2016
I - U	Growth	Growth, especially in 2016

E - employment, U - unemployment, I – inactivity

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## Chemical Castration of Child Molesters – Right or Wrong?!

**Vedije Ratkoceri**

PhD Candidate in the criminal field, Law Faculty

South East European University – Tetovo – Macedonia

### Abstract

Studies have shown that recidivism rates among child sexual offenders are very high. Therefore, the number of children victimized by paedophiles is also very high. In most of the cases, offenders committing these crimes suffer from paraphilia – categorized as a mental disorder by the psychological sciences. Thus, imprisonment for this category of child abusers obviously is not the answer. That's why a lot of states have tried to incorporate in their legislations a medical treatment useful to prevent recidivism of paedophiles and to protect the children. Chemical castration is merely a type of hormone therapy that takes away the offender's sexual desire. There can be some unpleasant side effects, but they are mostly reversible and this paper tries to argue that this procedure is humane and necessary to prevent child molesters. The first part of this paper examines paedophilia, chemical castration procedure and will show data from studies made mostly in USA to see the efficiency of this procedure. The second part of this paper examines the growing trend by legislators towards favoring castration as a sentencing alternative and explains the reasons for this trend. This part finds that this trend is a necessary response to a failing criminal justice system.

**Keywords:** paedophilia, chemical castration, child molesters, depo-provera, criminal legislation

### Introduction

Sexual abuse of children is undoubtedly one of the worst and most serious crimes with long-term consequences for the victim and his family and social circle. Childhood from medical, psychological and pedagogical disciplines is considered a crucial period for the future development of children as individuals and as citizens. The importance of this period for further development makes it necessary for children to be given special care to meet their development needs. Unfortunately, however, they may be often victims of various abuses, either inside their own family or from someone outside. They may be victims of various forms of violence. But what is considered to be the worst form of abuse, which adversely affects the well-being, the growth of the child's development and which has long-term consequences in their lives is undoubtedly their sexual abuse.

Given the high risk posed by these criminal offenses, the fragile nature of victims which often do not understand what is happening to them, and above all, considering that pedophilia today is considered a mental disorder, states should undertake measures for medical treatment of the perpetrators for these offenses, in addition to the harsh penalties. This is supposed to be achieved through the incorporation of pharmacological-medical treatment or so called chemical castration of perpetrators of criminal offenses in the criminal laws of contemporary states.

### Child Sexual Abuse and Paedophilia

In the daily vocabulary the sexual abuse of children is also known as pedophilia, while individuals who commit sexual abuse against children are known as pedophiles. However, the medical and psychological literature reveals distinct differences between these two terms and we will try briefly to make clear the difference between pedophile and sexual abuser. It turns out that although these terms are often used as synonyms for each other, there are concerns about the possibility of accurately categorizing pedophilia and sexual abuse of children

According to the *Diagnostic and Statistical Manual of Mental Disorders (DSM-IV; 1)*, pedophilia is considered a mental disorder. Many studies indicate that sexual abusers of children may or may not have paraphylic disorders and thus individuals are categorized as pedophiles (a person who needs to be cured). Pedophilia is one among many disorders loosely categorized as paraphilia-psychosexual disorders such as transvestitism, exhibitionism, sexual masochism, and

sexual sadism in which unusual or bizarre imagery or acts are necessary for realization of sexual excitement (Winslade, Stone, Smith-Bell, & Webb, 1998).

As a particular paraphilic disorder, pedophilia is a desire or preference for sexual relations with prepubertal children (Winslade, Stone, Smith-Bell, & Webb, 1998). According to the *American Psychiatric Association* pedophilia is defined as intense and persistent sexual interest in prepubescent children. Some pedophiles seek same gender victims (homosexual pedophiles), others seek opposite gender victims (heterosexual pedophiles) and some don't care about gender. This type of offender is more concerned with committing a sexual assault with a child than concerning himself with the gender of his victims (Stevens, 2001). The most common child molester sexually assaults his own children or those of someone he knows ((Leberge, 1997) cited by (Stevens, 2001).

Pedophilia is classified as a particular type of paraphilia, which is defined as "recurrent, intense sexually arousing fantasies, sexual urges, or behaviors generally involving (Siverts, 2005):

- 1) nonhuman objects,
- 2) the suffering or humiliation of oneself or one's partner, or
- 3) children or other non-consenting persons that occur over a period of at least six months.

*The Diagnostic and Statistical Manual of Mental Disorders* gives the following criteria for pedophilia (Winslade, Stone, Smith-Bell, & Webb, 1998):

- 1) An impairment lasting at least 6 months, with recurrent and intense sexually arousing fantasies, sexual urges, or behaviors that involve sexual activity with a prepubescent child or children (generally age 13 years or younger);
- 2) Fantasies, sexual urges, or behaviors that cause clinically significant distress or impairment in social, occupational, or other important areas of functioning; and,
- 3) The impaired person is at least aged 16 years, and at least 5 years older than the child or children.

From these definitions, it is clear that a pedophile is not a sex offender until he engages in a legally proscribed act (Absent the act, a person cannot generally be compelled to undergo treatment or otherwise be charged with a crime or be incarcerated simply because the person has a pedophilia disorder) see (Winslade, Stone, Smith-Bell, & Webb, 1998).

The definition of the crime of the child sexual abuse depends from the criminal legislation of each state particularly. For example, the Criminal Code of the Republic of Macedonia this crime defines in the Article 188 – "Sexual assault against a child who has not attained 14 years" where in the 1<sup>st</sup> paragraph it's appointed that this crime it is committed by anyone who will have a sexual intercourse or other sexual activity with a child who has not attained 14 years old.

The literature of the field distinguishes and categorizes four categories of child sexual abusers.

Fitzigerlad (1990) divided sex offenders into four types:

Type I – denies the commission of the crime or the criminal nature of the act;

Type II – confesses to the commission of the crime, but places the blame for the crime on nonsexual or non-personal forces, such as alcohol, drugs, or stress;

Type III - is the violent criminal who is motivated by nonsexual gain, such as anger, power, or violence;

Type IV- is the paraphiliac who exhibits a pattern of sexual arousal, erection and ejaculation, which is characterized by a specific fantasy or its actualization.

The categorization of child molesters is very important because as we can see from this categorization not every child sexual abuser is appropriate subject to chemical castration.

Of the four different types of sex offenders, only Type IV offenders (paraphiliacs), "feel remorse or guilt" and are "unable to 'control' [their] behavior". Therefore, only Type IV offenders will respond to Depo-Provera (the medicament used for chemical castration) treatment because the other three types either deny their behavior (Type I), project blame for their behavior (Type III), or enjoy exercising violent urges (Type VI), thus not admitting that their behavior is out of control or inappropriate (Peters, 1993). Accordingly, chemical castration laws should only apply to paraphiliacs (Type IV) and should

not apply to the other three types of sexual offenders, because the treatment may not reduce their recidivism rates (Peters, 1993).

A child molester may have one or more causes for his conduct. Some offenses against children are committed by individuals who have some degree of mental retardation and a consequent inability to appreciate the difference between appropriate and inappropriate sexual behavior. An individual with an antisocial personality may commit sexual offenses against children simply because it is hurtful (See Berlin & Meinecke, supra note 26, at 602 cited by (Moog, 1999).

In most states that provide chemical castration in their legislation either as a medical treatment or as a punishment for child sexual abusers, the imposition of this treatment is in voluntary basis and usually the individual who agrees to undergo this treatment either is sentenced to lower penalties (for example, the case of the Republic of Macedonia) or the application of chemical castration is a condition for parole (for example, California legislation). Therefore, if chemical castration is imposed on an individual who does not actually need medical treatment because his criminal behavior is influenced by other factors as discussed above, then misuse of this measure may occur or in other words this treatment will be useless (the offender may repeat the crime).

Chemical castration appears to be ineffective in antisocial or psychopathic sex offenders who do not suffer from paraphilia (Berlin 2009 cited by (Douglas, Bonte, Focquaert, Devolder, & Sterckx, 2013).

### **Chemical Castration as a Criminal Sanction for Child Molesters**

The crime of raping a child is so abhorrent that many states adopted laws that called for the death penalty for the commission of such crimes (D'Avella, 2006) cited by (Tullio, 2010). However, sentencing these offenders to death is no longer constitutional and those who are released often reoffend and end up back in prison (Tullio, 2010), therefore it is very necessary to find other mechanisms and humane methods for treating these offenders.

Castration is probably more familiar to the public as a form of punishment. One of the first uses of castration in the United States occurred during the 1800's, "when slaves were routinely castrated as a punishment if suspected of having relations with white women" (Druhm, 1997). In Europe, castration was done on modern psychiatric indication for the first time in Switzerland in 1892, as an imbecile was cured of his neuralgic pains from the testes and his "hypersexuality" (Sturup, 1972) cited (Heim & Hursch, 1979). The Nazis employed it from about 1935 to 1945 as a "security" measure to protect Germany's racial purity from the Jews, Gypsies, homosexuals, lunatics and "others" (Chaney, 2006).

Even the punishment of sexual offenders with castration is not a new concept. Indeed, the idea of castration as a punishment does not originate in the United States. In fact, it appeared centuries before the colonization of America. For example, in ancient times, invading armies often castrated their captives as punishment for what they dared to be their enemies (William L. Baker, 1984). In biblical times, rapists received blinding and surgical castration as punishment (Berlin, 1997). Browe a Jesuit priest has studiously documented the history of castration in religion and law with copious references. According to him, Babylonian king, Hammurabi (about 1955-1913 B.C.) formalized the ancient law of retaliation "eye for an eye, tooth for tooth" known as Lex Talionis which called for castration for those who castrated someone else. Egyptian law called for the same punishment for anyone who had forced sex on a free woman. Late Roman law called for the same punishment for those who had sex with animals. The old pagan Frisian code of the Salic Franks, issued about 507 AD, used it for anyone who had stolen something dedicated to the gods. Self-castration was allowed in lieu of being buried alive or death by fire (Jacobs (1973) cited by (Chaney, 2006).

When talking about castration as a treatment for sexual perpetrators, namely sexual child abusers, the literature recognizes two types of castration: surgical castration and chemical castration.

Physical castration, or orchiectomy, is a surgical procedure in which a man's testes are removed. This causes a dramatic drop in the levels of testosterone in the body which severely decreases a man's sex drive (Tullio, 2010). Surgical castration is an irreversible procedure. The procedure itself is fairly simple, involving a small incision made in the scrotum so the testes can be removed; it is not considered major surgery and can be done on an outpatient basis (Druhm, 1997).

Surgical castration as an invasive procedure which involves removal of human organ it is considered as an unusual and cruel procedure which violates human rights. As so, many states that had surgical castration in their legislation either removed it or replaced it with chemical castration. Even that the use of surgical castration in now days is limited, it still happens in Europe and USA (for example the case of Czechs Republic or the case of the state of Texas).

Researchers in the 1960s, seeking alternatives to prison or surgical castration, studied chemical castration as a means of "curbing the sexual appetite of sex offenders" (Tsang (1995) cited by (Berlin, 1997)). The term "chemical castration" describes a medical treatment that uses anti-hormonal drugs to block the release of hormones, resulting in significantly lower testosterone levels and sex drives in men (Murray, 1998). Chemical castration consists of administering the medication periodically, usually in the form of an injection, which extinguishes sexual libido (Kambovski, 2015). While chemical castration sounds almost barbaric, it is one of the more civilized forms of treatment that has been used on sexual predators. It is merely a type of hormone therapy that takes away the offender's sexual desire (Harrison, *supra* note 1, at 21–28 cited by (Tullio, 2010)) There can be some unpleasant side effects, but they are mostly reversible, and overall, there is little pain and suffering associated with the procedure (Tullio, 2010).

The first reported use of the hormonally based medications in order to reduce pathological sexual behavior in men occurred in 1944 when the progesterone hormonal compound diethylstilbestrol was prescribed to lower male testosterone (Holmberg & Scott, 2003).

Medroxyprogesterone acetate (MPA), also known by brand names Clinovir, Cycrin, Depo-Provera, and Hystron, is the hormone used for chemical castration in the United States. MPA first came to the market to treat gynecological problems in females (Pitula, 2009). This drug "was first synthesized in 1954 [by the Upjohn Company] and was initially introduced in 1959 as a treatment for gynecological disorders. Depo Provera was first used as an effective way to reduce men's sex drive in 1958 (Philip J. Henderson, 1998) cited by (Daley, 2008). Depo-Provera is a legitimate, non-experimental treatment used around the world in the treatment of paraphilia disorders (Fitzgerald, 1990). In the United States, the first research with MPA was performed in 1966 by Dr. Money who treated a male bisexual transvestite who was engaged in an incestuous relationship with his six year old son (Fitzgerald, 1990).

In most cases, the reduction of sexual behaviors and the complete disappearance of deviant sexual behaviors and fantasies are observed after 1-2 months of treatment (Garcia, Delavenne, Thibaut, & Assumpção, 2013). MPA is able to reduce the occurrence of sexual imagery and lessen the offender's level of sexual. Essentially, the drug causes the brain to believe the body has enough testosterone and so it does not allow the testicles to produce anymore (Gimino III, 1997). The effect is a reduction in the levels of testosterone in the offender's blood down to that of a pre-pubescent male within one to two weeks; this low level of testosterone greatly lowers the offender's sex drive (Tullio, 2010).

A review of the studies indicates the following possible physiological side effects: 1) no change in blood pressure; 2) no change in body chemistry; 3) the possibility of weight gain; 4) a dramatic decrease in sperm count; 4) normal basal insulin levels, but also hyperinsulinaemic response to a glucose load; 6) possible irregular gallbladder functioning and diverticulitis while on long term therapy; 7) infrequent fatigue or lethargy; 8) testicular atrophy; 9) diabetes mellitus; 12) no breast changes ((Walker, *supra* note 10) cited by (Fitzgerald, 1990)). Other reported effects include hot and cold flashes, phlebitis, headaches, insomnia, nausea, nightmares, dyspnea, hyperglycemia, leg cramps, loss of body hair, and increased basal body temperature. Most of the reported side effects are extremely rare. All of the side effects are reversible once the treatment ceases (Fitzgerald, 1990).

Proponents of chemical castration argue that the side effects are comparable to medications used to treat other diseases. Every commercial for a prescription drug ends with a long list of side effects that can range from minor discomfort to life-threatening problems; what is so different about the side effects for antiandrogen drugs? (Pitula, 2009).

Except MPA (Depo-Provera) there is another medicament used for the same purpose, mostly in Europe. Cyproterone acetate CPA decreases testosterone production by competitive inhibition of testosterone and dihydrotestosterone in androgen receptors. Cyproterone acetate (CPA), marketed under the names Androcur, Cyprone, Cyprostat, and Dianette, is not officially approved in the United States, but is used in Canada, the United Kingdom and Germany. Comparative studies of MPA and CPA are difficult because the drugs are not available in the same countries (Pitula E. , 2009).

### **Recidivism Among Chemically Castrated Child Molesters**

The Johns Hopkins University's National Institute for the Study, Prevention and Treatment of Sexual Trauma has been studying MPA and using it to treat certain sexual disorders since 1966 (Fitzgerald, 1990). In one study of twenty paraphilics, only three of twenty men had reoccurrences of deviant sexual behavior while on the medication, an eighty-five percent success rate (See Berlin & Meineke, *supra* note 26, at 604 cited by (Moog, 1999)).

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A University of Texas study, conducted from 1976 to 1980, revealed that only one offender, out of twenty-five treated with Depo-Provera, committed an act of paraphilia while being treated (Green, supra note 40 cited by (Berlin, 1997).

Also, in a 1991 study conducted at Johns Hopkins University, "fewer than ten-percent of 626 patients chemically castrated with Depo - Provera committed sexual offenses five years after treatment (Rundle, supra note 4 cited by (Berlin, 1997).

### **Chemical Castration – A New Trend in the State Legislations**

Today, chemical castration is used in many states, whether as a punishment or as a medical treatment for sex offenders, mainly for the perpetrators of sexual crimes against children.

Chemical Castration is a part of criminal legislations in many states including USA, Argentina Australia, Estonia, Israel, Moldavia, New Zealand, Poland, Russia, Denmark, Germany, Hungary, France, Norway, Finland, Iceland, Lithuania, United Kingdom, Belgium, Sweden, Macedonia, Turkey, Indonesia etc.

According to a research made by the (Institute for Criminal Justice Reform, 2016) the precise structure or formulations of laws that provide chemical castration differ in important ways in each jurisdiction. The following three alternatives are of some use in categorizing these laws. First, the administration of chemical castration as a form of treatment may be "voluntary" in the sense that chemical castration will only be considered, and is only lawful, if a person is convicted of certain types of offences and **consents** to such treatment. This is reportedly the case in a number of jurisdictions, including England and Denmark. Secondly, a law relating to chemical castration may be "discretionary". Chemical castration may be a sentencing option that a court **may** impose if a person has been convicted of a certain offence, along with any other sentence (such as imprisonment). But the court does not have to impose it. If the Court does impose it as a sentence, then the sentenced person is required to undergo the treatment. Thirdly and finally, a law may be "mandatory". If a person is convicted of certain types of offences, then the court **must** impose the sentence of chemical castration (as well as any other sentence, such as imprisonment). Typically, laws that provide that a sentence involving chemical castration is *mandatory* are applicable when an offender *re-offends* (Institute for Criminal Justice Reform, 2016).

Sweden, Germany and Denmark were among the first countries to allow chemical castration, as an alternative to the surgical form which is also permitted. It is significant that in these countries it is utilized solely as a voluntary treatment (Wilson, 2007). Meanwhile, in certain legislation, chemical castration is incorporated as a sanction (USA, Poland, Estonia etc.), while in others (Great Britain, Germany etc.) is used as a medical treatment for sexual abusers with their consent (Kambovski, 2015). In USA, California was the first state to enact a compulsory chemical castration law. Any person convicted for the second time of forcible or statutory rape will be automatically required to undergo chemical castration as a condition of parole (Wilson, 2007). The treatment will continue until the State considers it is necessary and it is not required to include medical staff in this process.

In USA, chemical castration is foreseen in the legislation of eight states. Legislation in Georgia, Montana, Oregon, and Wisconsin provides for chemical castration only; California, Iowa, Florida, and Louisiana permit both chemical and surgical castration; and Texas allows only surgical castration. In some cases where chemical castration is offered it is formally optional and no link is made between refusal to consent to it and further incarceration; in others chemical castration is mandated as a condition of release; and in others still it is mandated with no formal link to release (Douglas, Bonte, Focquaert, Devolder, & Sterckx, 2013).

Unlike the United States which has only recently enacted chemical castration statutes, several European countries have had castration statutes on the books for quite some time. Denmark was the first country to create a castration law in 1929 (Daley, 2008). Denmark was the first to establish a comprehensive law on June 1, 1929, under Chapter XXIV of the Danish Criminal Code concerning punishments for rape, pederasty, and other sex crimes. This law was amended on May 11, 1935, with more details concerning permission to castrate offenders. Forced castration was never employed under Danish laws however (Chaney, 2006). Sweden passed a castration law in 1944, Finland passed a law in 1970 and Norway enacted its castration law in 1977 (Daley, 2008).

In Europe, the mandatory chemical castration is envisaged in the Penal Code of Poland, with the reform of the Polish Penal Code in 2009 which envisages the mandatory chemical castration for perpetrators of the criminal offense "Sexual Assault of a Child under the Age of 15 Years" (Trendafilova & Bozhinovski, 2015).

The Estonian Parliament has approved chemical castration for sex offenders in 2012 and according to the legislation, courts will be able to impose a course of medical treatment on sex offenders, who would be obliged to take special medication for

up to three years. Chemical castration may also be a precondition for the offender to be released on parole ([https://sputniknews.com/voiceofrussia/2012\\_06\\_05/77079747/](https://sputniknews.com/voiceofrussia/2012_06_05/77079747/)).

The French Government in 2005 and the United Kingdom in 2007 have introduced chemical castration legislation. In both countries it is a voluntary procedure (Wilson, 2007). According to media report in 2012, in Great Britain around one hundred child sex offenders have undergone chemical castration under a government program to reduce the likelihood of them reoffending in jails (<http://www.telegraph.co.uk/news/uknews/law-and-order/9139845/Paedophiles-chemically-castrated-in-British-jail.html>).

In the criminal legislation of the Republic of Macedonia, chemical castration is incorporated as a criminal sanction in 2014 and with this Macedonia became the first country in the region (Balkans) which treats child molesters with medical treatment. Chemical castration in Macedonia was incorporated as a security measure (medical – pharmacological treatment) for the perpetrators of the offense of sexual assault on a child who has not reached the age of 14 as provided in Article 188 of the Criminal Code. In our legislation the imposition of this measure needs the consent of the perpetrator of the criminal offense, so, it is on a voluntary basis. "Compensation" for voluntary submission to such medical treatment is the reduce of the sentence of imprisonment, respectively, the perpetrator will serve half of the sentence. For instance, if for the criminal act is sentenced life imprisonment, the court may impose to the offender a sentence to imprisonment of 40 years; if for the criminal act imprisonment of 40 years is sentenced, the Court may impose to the offender a sentence of 20 years of imprisonment; and if criminal act is punishable by 20 years of prison, the court may impose the minimum prison sentence prescribed for that criminal act as long as the perpetrator agrees to undergo chemical castration treatment, which will last until the end of his life or until the Court estimates that is necessary to take the treatment (paragraph 2, 3 and 4 of the Article 65- a of the Criminal Code) see (Ratkoceri, 2017). It is a obligatory treatment among imprisonment when the offender is a recidivist.

Turkey has authorized chemical castration in 2016. Individuals convicted of sex offences may be chemically castrated while they are serving time or during the control period if they are conditionally released.

## Conclusions

The issue of chemical castration is a controversial topic in many scientific circles, dividing researchers and scientists in two campuses, pro et contra. To some extent, both sides have their own facts and arguments that support one side or the other. However, given the latest trends of states, namely the incorporation of this sanction in many legislations recently, it is clear that states have decided to fight pedophilia with medical treatment.

The reason for this may be the fact that sexual abuse of children by pedophiles is a growing trend and the rate of recidivism is very high in these cases, as well as the specifics of victims (where children are concerned) who need absolute protection from such crimes.

Considering that paraphilia is defined as a mental disorder, pharmacological medical treatment is almost inevitable and more than necessary. We consider that the use of chemical castration on voluntary basis on individuals who consider that they can't control their sexual urges and need medical help, is a right thing. However, its mandatory imposition to cases of recidivism also has a certain justification, since it is argued that imprisonment hasn't fulfill its main goal, re-socialization, and that these individuals can't control their sexual urges. Therefore, for the sake of protecting potential victims, such perpetrators should be assisted with medical treatment (chemical castration).

Chemical castration is not an inhuman and denigrating punishment. It is a simple procedure that does not cause suffering or pain in the individual. It is a treatment that helps people suffering from certain disorder and as such as long as it is proved to be successful we consider that it should be used.

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## Sharing Economy: the Establishment of Organizational Identity Overtime, Considering Identify Claims and Legitimacy Granting

**João Miguel Oliveira Cotrim**

Ph.D. Candidate, ISCTE Business School

**Francisco Nunes**

Doctor Professor & Researcher, ISCTE Business School

### Abstract

The Sharing Economy (SE) has been growing at an impressive rate across the globe (Cohen & Kietzmann, 2014) and emerging as an innovative and rapidly growing sector of the economy (Hira & Reilly, 2017), which attracted the attention of the scientific community. An increasing number of studies have been brought to light helping to document and analyze how SE manifests and evolves across economic systems, thus, contributing to refine and recast existing management theory (Mair & Reischauer, 2017). Nevertheless, there still is a lack of a common understanding of SE and its underlying mechanisms (Knote & Blohm, 2016). As an emergent category, SE has been contoured by being a mutant process, as it has been crafted by multiple and distinct temporal identity and legitimacy events, mechanisms and claims. Showing signs of being an on-going process of evolution, there is a constant need for further research to identify developments in the evolution of SE considering both identify claims (self-referential) and legitimacy (granted by stakeholders), which would offer additional comprehension about the SE phenomenon. The research addresses it by studying what is the role of SE in establishing the identity of organizations belonging to the field, considering both identify claims (self-referential) and legitimacy (granted by stakeholders)? To answer the research question, the research was designed involving two components inspired on category creation studies (Durand & Paoletta, 2013; Glynn & Navis, 2013; Navis & Glynn, 2010; Kennedy & Fiss, 2013; Kennedy et al., 2010; Lounsbury & Rao, 2004; and Wry et al., 2014): 1) four prototypical SE organizations were selected, each of them belonging to Schor's (2014) four SE archetypes of activities: (i) Airbnb – peer-to-peer, for-profit activity –, (ii) Zipcar – business-to-peer, for-profit activity –, (iii) TimeBanks – peer-to-peer, non-profit – and (iv) Make: makerspaces – business-to-peer, non-profit. The content of the evolution of their identity claims was analyzed, using data from public available reports, as well as, other secondary data available on-line; and 2) considering the same set of SE organizations, legitimacy evolution was analyzed considering how scientific community, investors, customers, media, other analysts and other interested audiences have been constructing category meaning to them, conferring the formation of SE categorical and organizational identities, and perceptions about the viability of their business models (Tripsas, 2009, as cited in Navis & Glynn, 2010). In short, it was analyzed how stakeholders assess the viability of SE categories and organizations and can grant or withhold legitimacy to SE organizations (Zuckerman, 1999, as cited in Navis & Glynn, 2010). This research presents a new layer on framing a detailed understanding of the SE field in its maturing dimension, thus, meeting Mair's and Reischauer's (2017) call for studying the SE, unpack and make sense of an inspiring and complex phenomenon and thereby advancing and sophisticate the existing theory.

**Keywords:** Sharing Economy; Identity Claims; Legitimacy Granting; Prototypical Organizations; Stakeholders.

## The Image of Politics in Art: Projecting the Oppression in Turkish Art Scene

**Ayşe Nahide Yılmaz**

Dr., Duzce University Art, Design and Architecture Faculty

### **Abstract**

In the 1970s, Turkey's artistic milieu was mostly influenced by socialist realistic painters who demonstrated political criticism with a figurative understanding. The oppression that came with the coup d'état of September 12, 1980 aimed at a depoliticized society, and artists were then politically diverted to implicit and indirect ways. While direct intervention from the military or the civil government under its control rarely came, the artists and art institutions have even ended some kind of auto censorship. In a demoralized and depoliticized cultural environment, the works that embodied the 'social ghost' have both raised emotional and reactive objections and ironically created a sense of guilt in the audience. Being a spectator meant to be a victim, a judge, a witness, or maybe -in fact- all of these at once. The artist imagination reproducing the notions of authority and power in silenced societies has made conspicuous human rights violations, tortures, and executions through works of art. Artists, who counted art as a vehicle to change the world, have provided a deep dimension in art environment with a wide variety of knowledge and skills right along with new techniques and materials. In this work, there shall be many examples of artists and works of art that combine 'art politics' and 'political art' as a single thing, which goes beyond traditional approaches to art and politics in the intense and subversive political atmosphere of the 1980s in Turkey.

**Keywords:** Coup d'état, 12<sup>th</sup> September 1980, Republic of Turkey, work of art, politics, artist, torture